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ABSTRACT

This handbook has been designed to assist personnel within the Chicago Public Schools to assess the operation of their government funded programs, make certain that these programs are being implemented in accordance with the design as funded, and that they are in compliance with appropriate legislation and guidelines. The handbook establishes a method wherein objective observations based on specific factors written into the project being implemented can be reviewed to ascertain the degree of implementation and legal compliance at the local level. The method is intended to be implemented prior to an audit conducted by the funding agency, which audit might result in the filing of an exception and a resultant loss of funds were it not preceded by such a review. (Author/DN)

ED 096743

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PROGRAM AUDIT HANDBOOK

by James G. Moffat

Submitted in partial fulfillment of the requirements
for the degree of Doctor of Education, Nova University

EA 006 417

Waukegan Cluster
Marjorie S. Lerner, Coordinator

Maxi I
June 11, 1974

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ABSTRACT

The purpose of this practicum was to develop a program audit handbook designed to assist personnel within the Chicago public schools to assess the operation of government funded programs in their schools, to make certain that they are being implemented in accordance with the design as funded and that they are in compliance with appropriate legislation and guidelines. The handbook establishes a method wherein objective observations, based upon those specific factors which were written into the project being implemented, can be reviewed to ascertain the degree of implementation and legal compliance at the local level, prior to the conduct of an audit by the funding agency which could result in the filing of an exception and a resultant loss of funds.

INTRODUCTION

The responsibility for an assessment of the level of success that educational programs attain has always been the duty of the chief administrative officer of the school system and his administrative staff. Regardless of how thorough the reports which are compiled and distributed to boards of education and the public have been, the introduction of federal assistance to school districts has included as a concomitant responsibility a strict adherence to legislation and guidelines to justify the expenditure of funds.

The goal of this practicum has been the creation of a program audit handbook designed to assist field administrators in their efforts to comply with the existing regulations and at the same time to enhance their ability to more accurately assess the quality of the program which they have implemented. One of the premises embraced is that early identification of problem areas and timely remediaton can significantly improve the results of programs, i.e., programs that are implemented in fact, as well as in name, are more likely to be successful.

The first chapter of this report sketches the period beginning in 1965 when significant federal assistance was introduced to many school districts throughout the nation. Some of the legislation, guidelines, audit comments, and observations are briefly reviewed.

The following chapter deals with the introduction of a program audit procedure within the Chicago public schools and some of the results of that activity. The need for a program audit handbook is also established.

Subsequent chapters deal with the stages leading to the creation of the final document, the Program Audit Handbook.

CHAPTER I

THE FEDERAL GOVERNMENT'S ROLE IN EDUCATION DURING THE LAST DECADE

In 1965, school districts throughout the United States began to incorporate into their budgets a significant number of dollars for the instruction of the educationally disadvantaged children, due to the enactment of legislation known as the Elementary and Secondary Education Act of 1965. Although there had been other legislation which had provided support to public school systems, ESEA was the first to provide an amount which was not only significant in terms of dollars, but had the potential for assisting educators to make significant strides in improving the quality of instruction for those children suffering from economic and educational deprivation. Subsequent legislation has provided additional federal support. Included are such programs as Model Cities, funded under Title I Demonstration and Metropolitan Development Act of 1966, Public Law 89-754; Head Start, funded under Title II of the Economic Opportunity Act of 1964, Public Law 90-222; Neighborhood Youth Corps, funded under Title IB of the Economic Opportunity Act of 1964, Public Law 90-222; and ESAA, funded under the Emergency School Aid Act of 1972, Public Law 92-318. Funds for the training and/or retraining of professionals and paraprofessionals, as well as programs in certain specialized areas for those interested in teaching, have been provided through legislation such as EPDA, funded under the Education Professions Development Act of 1967, Public Law 90-35.

The federal government began to have a substantial impact on the budgets of local school districts during the mid 1960's. The total budget of the Chicago public schools and the federal segment of those budgets for the three calendar years 1964, 1966, and 1972, are summarized as follows:

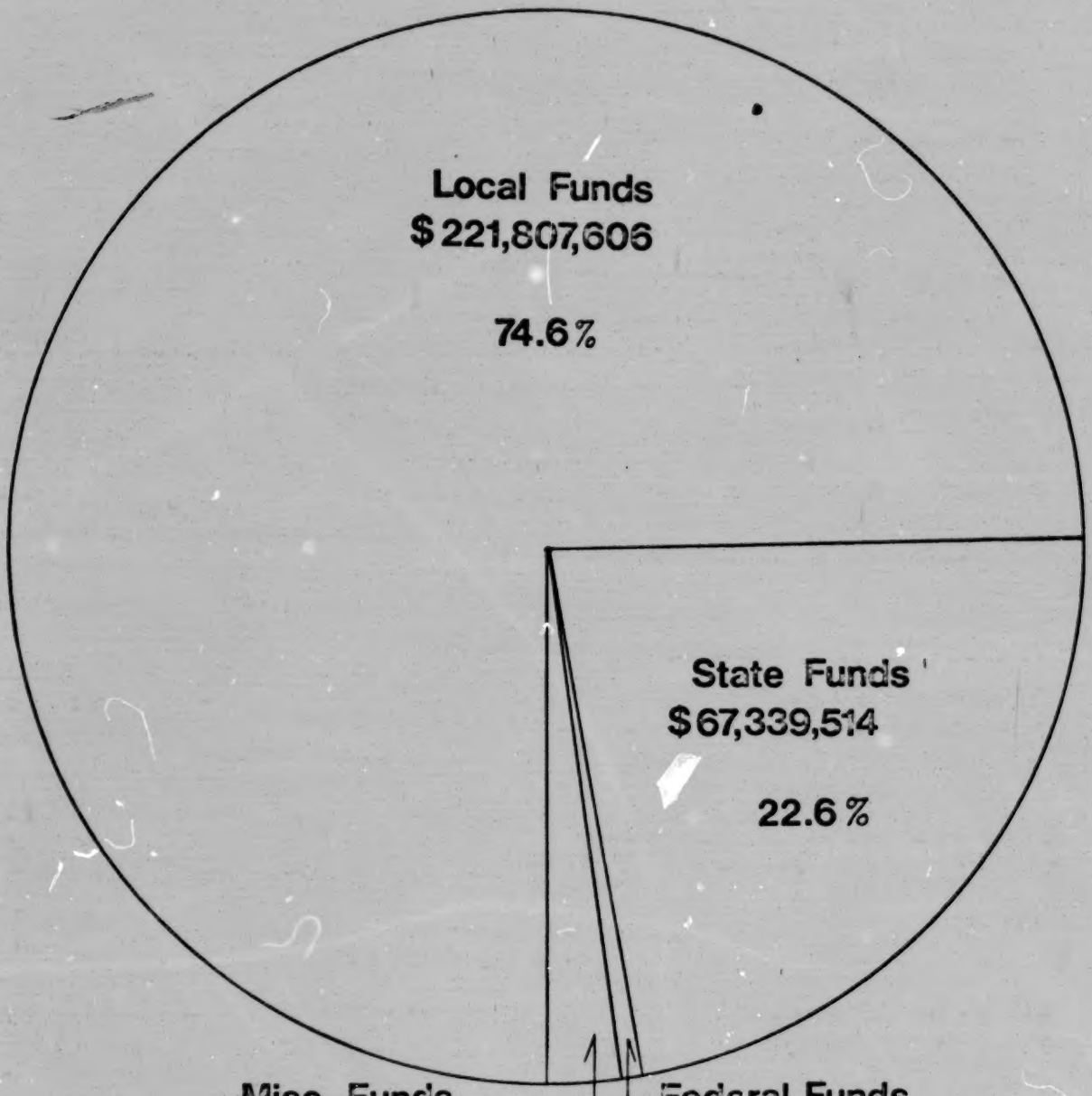
		Total Budget	Federal Funds Included in Budget	Federal Funds as a % of Total Budget
(Exhibit #1)	1964	$ 297,384,091	$ 2,097,632	.7
(Exhibit #2)	1966	363,984,000	37,544,000	10.3
(Exhibit #3)	1972	825,210,000	90,828,000	11.0

Guidelines governing the operation of the various federally supported programs were developed and circulated to participating school districts. Often the guidelines were received after the program had been implemented. Numerous revisions were subsequently distributed. The guidelines were not only difficult to interpret in many cases, but it was virtually impossible for local school administrators to keep up with all of them. As the programs were implemented, often scant attention was paid to adherence to the regulations. This resulted in many "audit exceptions" being reported in subsequent years by federal auditors, often with an accompanying request for the repayment of funds by the local district. As an example, auditors for the Department of Health, Education, and Welfare reviewed the ESEA, Title I, program which operated in the Chicago public

Sources of Funding for Chicago Public Schools

Exhibit #1

Year 1964

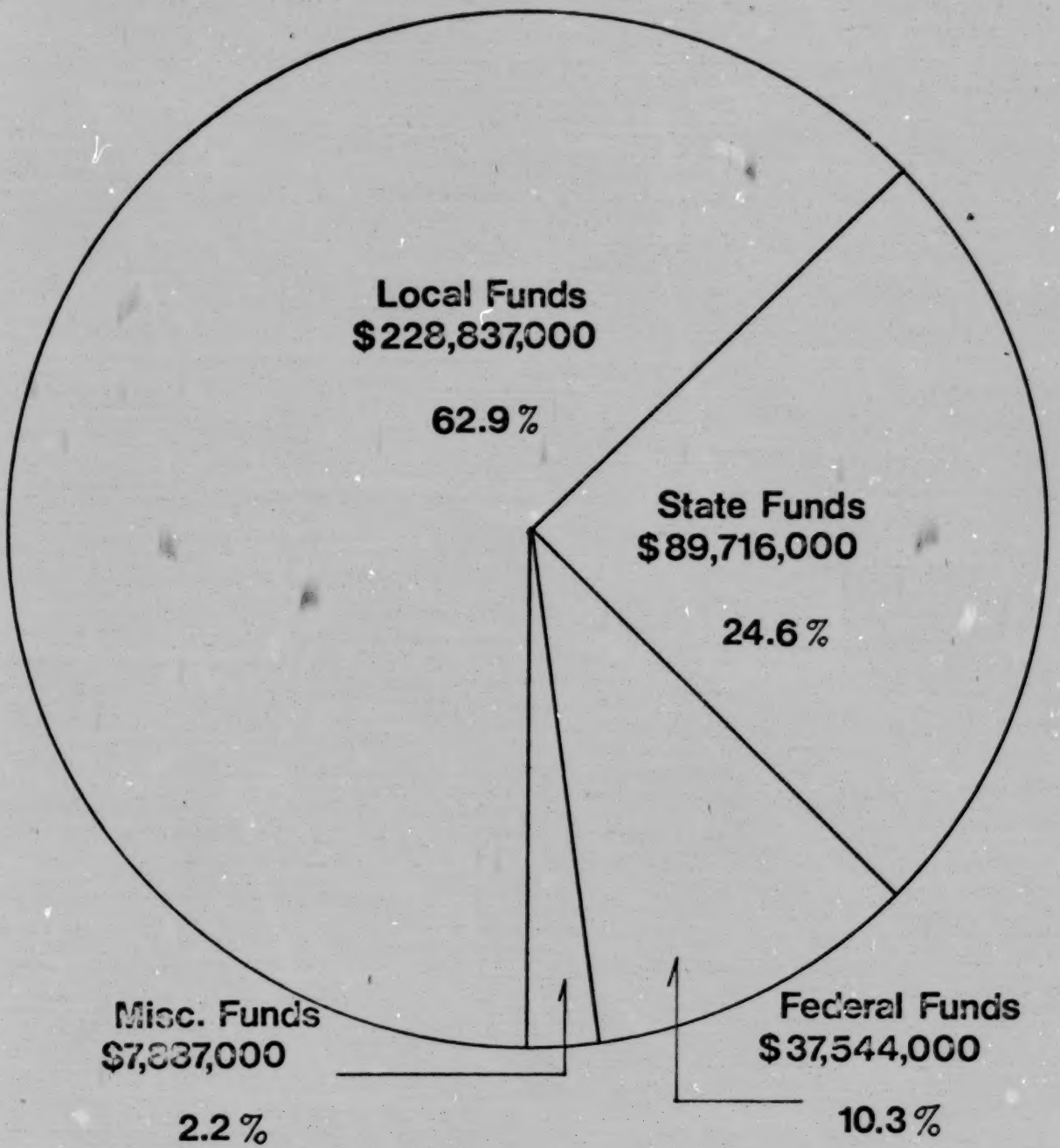


Budget: $297,384,091

Sources of Funding for Chicago Public Schools

Exhibit #2

Year 1966

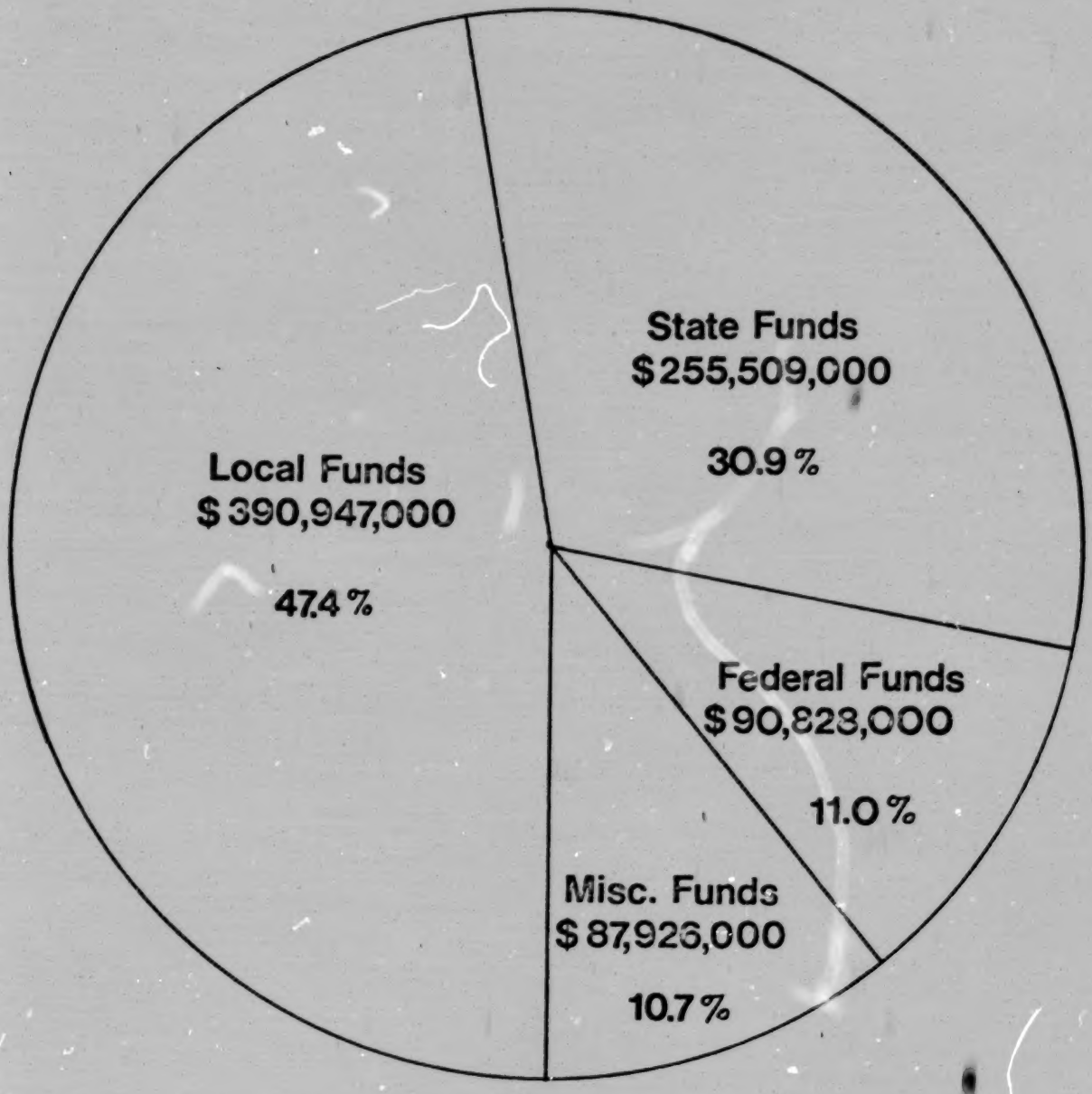


Budget: $363,984,000

Sources of Funding for Chicago Public Schools

Exhibit #3

Year 1972



Budget: $825,210,000

schools September 23, 1965, to August 31, 1966, and reported, in part, as follows:

> Title I of the ESEA authorizes federal support to local public educational agencies for special programs for educationally deprived children in attendance areas where low-income families are concentrated. Its aim is to help broaden and strengthen education for these children.
>
> Federal grant funds made available to the state during the period of our audit amounted to $61.5 million. Approximately $31.2 million of this amount was designated for the City of Chicago.
>
> We have questioned the total costs incurred of approximately $20.5 million because the programs and projects as submitted and approved did not meet the requirements of the ESEA, Title I. In addition, we have questioned unreported interest of $177,021. We have also questioned approximately $14 of the $20.5 million for additional reasons.[1]

In subsequent years, other auditors from governmental agencies have questioned the adherence to guidelines for expenditure of funds received, and in some cases have demanded repayment. The district is faced with answering each of the exceptions in a manner which will justify the actions of staff who were responsible for expending the money, or to face repayment of the funds to the appropriate federal agency.

Adherence to guidelines is not limited to fiscal concern. The General Accounting Office, (GAO), a federal agency which reports directly to the U.S. Congress, included in its report of its audit of the Chicago public schools and two other Illinois school districts for the school year 1969-70 (fiscal 1970) many references to other areas. Some examples from the

report follow:

> Contrary to OE guidelines, however, the LEAs had not established measurable objectives and generally had not adopted specific procedures to evaluate the success of their major Title I activities.
>
> Evaluations that were made were usually based on opinion surveys and teacher judgments. Although such evaluations are useful, we believe that they should be supported by or used in conjunction with objective test data. Test data was obtained for some project activities, but it was not analyzed by the LEAs and used to evaluate the impact of the activities. Further, the LEAs had not prepared and submitted, as required, annual evaluation reports on program impact to the SEA. Consequently, the LEAs, the SEA, and other parties interested in the Title I program were not in a position to evaluate the LEAs' program success, or to determine whether program approaches or funding levels should be revised.[2]
>
> Objectives stated in the project applications filed by the three LEAs were generally vague and not expressed in measurable terms by type and degree of change expected.[3]
>
> We were unable to determine whether the average rates of improvement were indicative of success because the LEA had not established objectives for the activity in terms of the degree of change anticipated.[4]
>
> The Chicago LEA had not restricted their programs to a limited number of school attendance areas determined by them to be eligible to participate, and had not concentrated Title I services in those school attendance areas with the highest concentration of children from low-income families; and none of the LEAs had provided a variety of services to a limited number of participating children.[5]

Objections such as these have highlighted the need to see the process of auditing related to federally funded programs as being much more than fiscal control. Looking closely at the program design, its implementation and the eventual evaluation to assess the degree of success, is definitely a "program audit" responsibility.

Another dimension introduced into the conduct of most federally supported programs deals with community involvement. ESEA, Title I, as an example, has had a series of criteria for establishing councils. The first set of basic criteria, issued by USOE in the spring of 1967, called for parent participation, but did not define the nature of this participation beyond saying that it should be "appropriate."[6] The second set of criteria, issued in the spring of 1968, called specifically for involvement of parents "in the early stages of program planning and in discussions concerning the needs of children."[7] On July 2, 1968, USOE issued a separate memorandum on parental and community involvement stating that "local advisory committees will need to be established."[8]

Although much is left to the local educational agency, the need for a diligent program audit activity within a school system has become a growing need. The broad range of legislation, guidelines, bulletins, schedules, and reports demands a level of sophistication never before required. The Chicago public schools have moved to fill the void through the use of a program audit procedure initiated and conducted by the Department of Government Funded Programs.

CHAPTER II

AUDITING FEDERALLY FUNDED PROGRAMS

Since July 1971, in response to a request from the Assistant Superintendent, Department of Government Funded Programs, staff has been conducting an ongoing internal program audit of those programs managed by this department.

In general, the major objectives of the program audit are as follows:

- To observe programs to determine if they are being implemented in accordance with the approved contract or grant award.
- To transmit information concerning audit exceptions to the appropriate line officer so that discrepancies can be corrected.
- To obtain input from field personnel in order that program guidelines might be developed which are consistent with contractual limitations and helpful to successful program implementation.

It is important to understand that under the Chicago school system's administrative decentralization plan, which was developed by the management consulting firm of Booz, Allen, and Hamilton, the Department of Government Funded Programs has no responsibility for, or authority over, actual operation of programs. That was shifted to regular line administrators as part of their regular administrative tasks. The decentralization plan envisioned the central office Department of Government Funded Programs as a service unit, performing such roles as searching for funding sources for proposals initiated

at the local school, district, or area levels; putting applications into proper format in accordance with guidelines; preparing applications; and furnishing the field with any technical help needed.[9]

Evaluation was also viewed as one of these service functions. As a first step toward program audit, a survey of the adequacy of implementation was built into the end-of-the-year evaluation of fiscal 1971 (school year 1970-71) Title I programs.

A 40-question interview was developed, field-tested, and reduced to 15 questions. Staff evaluators administered these questions to the principals of 148 schools with basic reading activities, representing three-fifths of the schools with Title I programs. The evaluators also visited classrooms for observation of programs in operation.

The questions covered such things as grouping patterns for each activity, the amount of teacher experience, the frequency and types of inservice meetings, the degree and quality of parental involvement, whether programs started on time, whether space was adequate, and whether equipment and materials were received promptly.

The results delineated for each activity covered the weaknesses and strengths in implementation. They were summarized in an evaluation report showing that Title I programs indeed were checkered with implementation breakdowns--which many principals found impossible to deal with from their particular vantage point in the school system.

For example, audit of one $1,700,000 reading program, producing student test scores little improved over those from regular programs,

revealed that in 40 percent of the participating schools the program was a month or more late in getting started. About 25 percent of the principals reported that they had not received major equipment four to six months after the school year started. Thirty percent said they were still lacking special materials by that time, and some were still waiting for parts of orders in March. But the major factor blocking full implementation, the principals said, was difficulty in obtaining staff, both professional and paraprofessional.[10]

The ongoing audit covers all federally funded programs. To carry this out, the department added only one new staff member, an audit coordinator, whose salary is 40 percent government funded and 60 percent locally funded. The people who make up the auditing teams under the direction of the coordinator were on the government funded staff when the auditing idea arose--conducting research, assisting in proposal writing, negotiating contracts, and performing other tasks which made them already familiar with guidelines and other aspects of federal programs. Only limited training and preparation of auditing forms were necessary to get them started on program monitoring, which they now do in addition to their other regular duties.

Early in the developmental year (school year 1971-72), the audit was divided into phases, with each phase designed to check on some particular aspect of implementation. In the initial phase, auditors interviewed principals to find out whether staffing was complete, materials and supplies had been ordered and received, and pre-testing was finished.

Phase 2 of the audit focused on whether programs were actually being operated in accordance with program guidelines. Auditors visited every class of every government-funded program in each school.

Audit schedules are distributed each week to government funded staff members by the audit coordinator. Members usually visit schools in teams, and meet beforehand to review program guidelines and audit checklists. Principals are notified in advance before the initial visit, but not thereafter. Visits usually last one to two hours at each school. Recently field personnel have been added to the audit teams, but they do not monitor programs they themselves direct.

Each auditor files a report immediately upon his return to the central office. Discrepancies or problems are reported in writing to the assistant superintendent for government funded programs, who notifies the field administrators accountable for the programs involved. It is up to the field administrators to initiate corrective action at the program level. The auditors' role is to gather information only. They have no authority to order changes, although local schools may call upon them for help in the interpretation of guidelines and/or program goals and requirements.

As a result of the audit procedure, many problems experienced with programs currently in operation are now reported in time for corrections to be built into proposals for the next year. In the past this was often a two-year process. Problems came to light in the central office--if at all--in July or later when the year-end evaluation had been compiled and distributed. But this was after proposals for the coming school year

had already been prepared for submission to the state for approval.

In a letter directed to the Board of Education of the City of Chicago dated June 19, 1973, the General Superintendent of Schools, Dr. James F. Redmond, stated that, "In general, it appears that guidelines for most government-funded programs are better understood by personnel responsible for implementing programs and are being more closely complied with than in previous years. In most cases, delayed implementation of activities occurred in new programs. It is expected that as these programs become operational for a second year, these problems will not reoccur. The program audit staff in the Department of Government Funded Programs operated independently of the program staff responsible for providing technical assistance in program development and school staff responsible for the implementation of the program. This approach has proved to be a successful internal procedure resulting in a decrease in the number of contract violations."

Although the Department of Government Funded Programs, serving as the independent internal program auditor for the school system, must retain its role, it is anticipated that improved understanding of the need and process of the activity by all members of the administrative force will further improve the performance of federally funded programs within the Chicago public schools.

Further, if this activity is worthwhile and successful, it should be made available to other school districts and perhaps used for locally funded programs as well; hence the desirability of creating a program audit handbook.

CHAPTER III

THE STRATEGY

A great deal had been learned since the audit program was initiated in 1971. Improvement in program implementation has been realized. Fewer audit exceptions have been received from funding agencies. However, it was concluded that the development of a program audit handbook would further reduce the number of audit exceptions and improve the conduct and accomplishemnts of programs currently in operation which are financed with funds from various governmental sources.

Therefore, the assistant superintendent moved to establish a committee charged with the responsibility of drafting a document on program audit. It was envisioned that the handbook would be of benefit not only to personnel within the Chicago public schools, but to administrators and staff in many other communities.

The committee was comprised of persons from the Department of Government Funded Programs, staff from the field units, representatives of other governmental agencies, and parents who served on citywide advisory councils. The Chicago public schools are divided into three administrative areas; therefore, the necessary communication was prepared and sent to the three area associate superintendents asking them to designate a district superintendent, a director, and a principal to serve. (See Exhibit #4.) The central office staff was solicited from within the department on a

Exhibit #4

BOARD OF EDUCATION
CITY OF CHICAGO
228 NORTH LASALLE STREET
CHICAGO, ILLINOIS 60601
TELEPHONE 641-4141
JAMES F. REDMOND
GENERAL SUPERINTENDENT OF SCHOOLS

AMES G. MOFFAT
SISTANT SUPERINTENDENT
OVERNMENT FUNDED PROGRAMS
ELEPHONE 641-4500

September 27, 1973

Dr. Curtis C. Melnick
Area A Associate Superintendent

Mr. McNair Grant
Area B Associate Superintendent

Dr. Angeline P. Caruso
Area C Associate Superintendent

Dear Colleagues:

The Department of Government Funded Programs is planning to develop a handbook to assist administrators in understanding the program audit activities. The handbook will be based on procedures developed and implemented during the past two years in the Chicago public schools.

Although the primary thrust will be to assist administrators within the system, it is the intent to create a document which will be useful to administrators in other school systems throughout the nation.

I would appreciate having representatives of your staff serve on this committee. It would be helpful if a district superintendent, a director, and a principal could be nominated. I feel that input from field personnel is important in this endeavor.

I appreciate your cooperation.

Sincerely,

James G. Moffat

JGM:cp

voluntary basis, and the community person was nominated by a director from within the department. After some preliminary contacts, the assistant superintendent determined that the representatives from other governmental agencies would serve on a "call" basis rather than as permanent members because a significant commitment of time was involved and some of the persons who had the most experience in the audit function were not available for full participation.

The first meeting of the General Committee was held in October 1973. The committee had a membership of 31 persons (see Exhibit #5). The Administrator of Program Audit, Department of Government Funded Programs, was selected to serve as co-chairman while the assistant superintendent served as chairman. A review of the program audit activity since its inception in 1971 was presented by the staff. This was followed by a discussion of the charge to the committee, the development of a program audit handbook, and a review of suggestions as to how to proceed.

It was determined that each member was to review his files and send to the secretary those items which might prove helpful in the creation of the document. In addition, the submission of any suggestions for content was encouraged. Because of the size of the group, a Coordinating Committee was appointed. Further, it was decided that a sub-committee would do the initial writing, and that the remaining members would serve as a nucleous for the evaluation of what was produced and would assist in working with personnel throughout the system in evaluating the draft as it was developed. Additional sub-committees for Data Collection, Graphics, and Evaluation were appointed. In all, five sub-committees were organized (see Exhibit #6).

Exhibit #5

COMMITTEE
PROGRAM AUDIT HANDBOOK

Chairman
Assistant Superintendent
Government Funded Programs (1)

Co-Chairman
Administrator, Program Audit
and Proposal Review (2)

Administrator
ESEA Title I Language
Development Programs (3)

Administrator
ESEA Title I Program Planning (4)

Administrator
Research and Evaluation (5)

Administrator
Special Programs Development (6)

Coordinator
City Program Coordination (7)

Coordinator
Data Analysis, Research
and Evaluation (8)

Coordinator
Editorial and Communication
Services (9)

Coordinator
State Program Coordination (10)

Director, Bureau of School Systems
USOE, Department of HEW

Director
ESEA Programs, Area A

Director
ESEA Programs, Area B

Director of Community and
Human Relations, Area C

Director
Early Childhood Programs (11)

Director
Special Programs (12)

District Superintendent
District 7

District Superintendent
District 21

District Superintendent
District 23

Principal
Beethoven Elementary School

Principal
Donoghue Elementary School

Principal
Webster Elementary School

Staff Assistant
Editorial and Communication
Services (13)

Staff Assistant
Editorial and Communication
Services (14)

Staff Assistant
Model Cities Programs (15)

Staff Assistant
Program Audit and Proposal Review (16)

Staff Assistant
Program Audit and Proposal Review (17)

Staff Assistant
Research and Evaluation (18)

Staff Assistant
Research and Evaluation (19)

Staff Assistant
Research and Evaluation (20)

Parent
ESEA Title I Advisory Council

Exhibit #6

SUBCOMMITTEES FOR PROGRAM AUDIT HANDBOOK

Coordinating Committee

Assistant Superintendent
Government Funded Programs (1)

Administrator, Program
Audit and Proposal Review (2)

Administrator
ESEA Title I Language
Development Programs (3)

Administrator
Special Programs Development (6)

Director
Early Childhood Programs (11)

Staff Assistant
Editorial and Communication
Services (13)

Staff Assistant
Research and Evaluation (19)

Evaluation Committee

Administrator
ESEA Title I Program Planning (4)

Administrator
Research and Evaluation (5)

Coordinator
State Program Coordination (10)

Staff Assistant
Research and Evaluation (20)

Graphics Committee

Coordinator
City Program Coordination (7)

Staff Assistant
Editorial and Communication
Services (14)

Staff Assistant
Proposal Development and
Program Audit (17)

Data Collection Committee

Coordinator
Data Analysis, Research
and Evaluation (8)

Staff Assistant
Model Cities Program (15)

Staff Assistant
Proposal Development and
Program Audit (16)

Staff Assistant
Research and Evaluation (18)

Writing Committee

Administrator
ESEA Title I Language
Development Programs (3)

Coordinator
Editorial and Communication
Services (9)

Director
Special Programs (12)

Staff Assistant
Editorial and Communication
Services (13)

There was also discussion of the format for the document. There was some feeling that in addition to the handbook, which might be quite lengthy, that a brochure also be published which would, in capsule form, give the highlights of the audit's purposes and procedures. This idea was tabled to be considered at a time following the distribution of the handbook. The writers indicated they would develop an outline and present it to the committee at its next general meeting.

In addition, a number of specific questions were raised during the conduct of the meetings. The Coordinating Committee developed responses to questions of:

1. Why audit?
2. Who has the initial responsibility for audit?
3. What should auditors do?
4. What programs or activities should be audited?
5. What factors seem to cause poor program implementation?
6. What does Research do? What does Audit do?
7. How can administrators change guidelines?

The responses were shared with all members of the General Committee.

At the outset, the assistant superintendent recognized that if a quality document was to be produced, funds would need to be identified to cover some of the costs involved in completing the project. The major concern was for funds to cover the costs of printing and related activities. Therefore, a proposal was developed to be sent to potential funding sources

(see Appendix #1). The proposal was submitted to the Board of Education of the City of Chicago on September 25, 1973, in a report entitled, "ESEA Title III Mini-Grant Proposal Submission: Program Audit: A Move Toward Accountability." (See Exhibit #7.) The board approved the proposal and it was subsequently sent to a number of governmental agencies and foundations, in addition to Title III, for consideration.

The Chicago Community Trust, a charitable foundation created to accept and administer gifts under wills or living trusts for health, welfare, educational, and artistic purposes, awarded the Chicago public schools a grant of $9,100 to assist in the development of the handbook. The award was accepted by the Board of Education on January 23, 1973 (see Exhibit #8).

The grant, coupled with the efforts of the regularly assigned staff, was sufficient to cover all costs related to the project.

The strategy had now been established. The subsequent chapters deal with the specifics of conducting the project.

ESEA TITLE III MINI-GRANT PROPOSAL SUBMISSION: Exhibit #7
PROGRAM AUDIT: A MOVE TOWARD ACCOUNTABILITY

BEST COPY AVAILABLE

RECOMMENDATION: Approve submission to the Office of the Superintendent of Public Instruction of PROGRAM AUDIT: A MOVE TOWARD ACCOUNTABILITY, a proposal for funding under the ESEA Title III Mini-Grant program or other appropriate sources. A copy of the proposal is on file in the Office of the Secretary.

DESCRIPTION: This proposal seeks funding to provide a quality educational program through more effective and efficient internal program audit procedures resulting from the development and publication of a comprehensive handbook.

SUPPORTIVE DATA: The ESEA Title III Mini-Grant was developed as a strategy for promoting educational change. Mini-grants differ from normal ESEA Title III programs in that the maximum grant is limited to $10,000, the application is greatly simplified and limited to ten pages, and the maximum project period is one year.

FINANCIAL: No additional cost to the Board of Education.
A maximum of $10,000 will be sought from funding sources.

Respectfully submitted,

JAMES F. REDMOND
General Superintendent of Schools

Prepared by:
CLIFFORD CLAIBORNE, Administrator, ESEA Title III

Approved by:
LLOYD J. MENDELSON, Director, Bureau of Special Programs
JAMES J. MOFFAT, Assistant Superintendent, Government Funded Programs
MANFORD BYRD, JR., Deputy Superintendent of Schools

Noted:
ROBERT STICKLES, Controller

BEST COPY AVAILABLE

74-69-18 January 23, 1974

GRANT AWARD: PROGRAM AUDIT: A MOVE TOWARD ACCOUNTABILITY

RECOMMENDATION: Accept with the appreciation of the Board and staff a grant award in the amount of $9,100 from the Chicago Community Trust for PROGRAM AUDIT: A MOVE TOWARD ACCOUNTABILITY.

Authorize implementation of the project.

DESCRIPTION: PROGRAM AUDIT: A MOVE TOWARD ACCOUNTABILITY is a proposal for the development of a comprehensive program audit handbook.

One of the major responsibilities of the Department of Government Funded Programs is the monitoring of educational programs funded through nonlocal sources. The purpose of the handbook, therefore, is to improve program audit procedures within the Department of Government Funded Programs and to share with other school systems and interested agencies the successful monitoring methods and procedures developed by the department.

SUPPORTIVE DATA: Board Report 73-1076-10, dated September 25, 1973, approved the submission of this proposal to funding sources. Staff submitted the proposal to the Chicago Community Trust and, on January 2, 1974, was notified that its executive committee approved an award of $9,100 for the development of the handbook.

FINANCIAL: Fully reimbursable under provisions of the grant.

Charge to the Department of Government Funded Programs, $9,100 -- accounting classification: 361-1-999-94; accounting distribution: 361-6-275-obj.

Respectfully submitted,

JAMES F. REDMOND

General Superintendent of Schools

Prepared by:
MICHAEL P. QUINN, Coordinator, City Program Coordination

Approved by:
RICHARD TYGIELSKI, Director, Departmental Program Coordination
JAMES G. MOFFAT, Assistant Superintendent, Government Funded Programs
MANFORD BYRD, JR., Deputy Superintendent of Schools

Within appropriation:
ROBERT STICKLES, Controller

CHAPTER IV

DEVELOPING THE HANDBOOK

At the next meeting of the General Committee a review of the progress to date was conducted. The principal business of the day was the review of the outline for the handbook, which had been prepared for the Writing Sub-committee. Considerable discussion followed. The committee accepted the following design:

PROGRAM AUDIT HANDBOOK

I. Preface

II. Introduction

- A. The role of the Department of Government Funded Programs
- B. Objectives of Program Audit
  1. Why Audit?
  2. Our obligations to funding sources
  3. Our obligations to government regulations and guidelines
  4. Auditing as an opportunity to improve programs
- C. Scope of Program Audit
  1. What is audited?
  2. What is not audited?

III. Audit Procedures

- A. The auditors
  1. Who are they?
  2. How are they selected?
  3. What is their function?
- B. Preparing for the audit
  1. Inservice of auditors
  2. Familiarity with the programs, the schools, and the audit report forms

C. Visiting the programs
   1. General routines
   2. Professionalism during the visit
D. Preparing the audit report
   1. During the visit
   2. Review of report after the visit
E. Types of audits and their frequency
   1. Initial audit
   2. Comprehensive audit
   3. Special audit

IV. Audit Exceptions

A. What is an audit exception?
B. Report of audit exceptions
   1. To whom are the reports sent?
   2. What are the channels of communication?
C. Responsibility for correcting the exceptions.

V. Results of Auditing

A. Prompt and efficient implementation of programs.
B. Possible changes in organization of programs
   1. In the schools
   2. In the Department of Government Funded Programs
C. Possible improvement in educational worth of the programs

VI. Appendix

A. List of Government Funded Programs
B. Guidelines for Government Funded Programs
C. Forms used in Program Audit

The members agreed that the outline would be reviewed and revised, as appropriate, throughout the conduct of the project. To assist all members of the group in understanding the format which has been used by auditors, a copy of the program Audit Checklist was distributed (see Appendix #2).

Brief reports were presented by the conveners of the other sub-committees. The members were satisfied that everything was moving along well, and a target date of January 11, 1974, was established for the completion of the draft of the handbook. This would permit distribution for review and return of a questionnaire on or before January 31, 1974.

As previously indicated, the Coordinating Committee was responsible for planning and preparing the document. This committee was chaired by the Administrator of Program Audit, as appointed by the assistant superintendent. Meetings were originally scheduled on a weekly basis, but as the work intensified, meetings were held almost on a daily basis for a brief period.

The work of the Coordinating Committee and other sub-committees was shared with the General Committee through correspondence and regular monthly meetings. The General Committee at its monthly meetings assisted by making recommendations regarding the directions the project should take, by serving as a sounding board, and by reacting to the agenda and to the materials prepared.

The assistant superintendent provided continuous leadership by attending committee meetings, requesting and examining committee progress reports, and making recommendations to the committee as the project progressed. A very important aspect of this leadership included a priority assignment to the project, thus allowing committee members full availablility of department services.

Each sub-committee chairman aligned priorities with committee members so they could assume a portion of the required tasks in concert with their regular duties.

In their search and appraisal of materials, committee members examined documents found within the department. These included materials from Model Cities/CCUO, the bilingual education program, and the Division of Research and Evaluation. Inasmuch as all members of the department were aware of the project, they cooperated in providing information which they felt would be helpful.

During the actual writing of the manual, committee members shared their opinions and recommendations. All were considered, critiqued, and correlated into a field test copy of the manual which the committee felt should be developed and circulated with a questionnaire to a random sample group of administrators both within and outside of the Chicago public schools. This process, while time-consuming, was valuable. Open communication was maintained throughout the processes of acting, reacting, and interacting among committee members and resulted in the accomplishment of the task.

The General Committee received copies of the materials as they were prepared. This permitted additional interaction and opportunity for input.

CHAPTER V

WRITING SUBCOMMITTEE

The sub-committee charged with writing the document consisted solely of staff members from within the Department of Government Funded Programs. This decision was made by the assistant superintendent based upon the assumption that a significant amount of time would be devoted to writing, frequent meetings would need to be held with members of the committee, and members of the general committee who were assigned to the field would have difficulty in attending hastily called sessions. In addition, there was a significant amount of work to be done in the field for which these members were better suited, all factors considered.

During the initial meeting of the Writing Sub-Committee, it was determined that throughout the life of the committee the involvement of other members of the department would be desirable. Various members participated for a limited time to share their expertise.

The members addressed themselves to the task of critically assessing "where we are" and to plan for "where we are going."

It was concluded that the Department of Government Funded Programs has initiated and developed program audit techniques to ensure that government funds are expended within contract guidelines, to decrease the number of audit exceptions, and to improve the educational programs available

to participating children. The task at hand was to develop a handbook which would serve as a vehicle to share what had been learned through the audit activities, to assist interested persons to improve their understanding of audit techniques, the reasons for auditing, pitfalls in implementing programs, and how to seek assistance as necessary.

The discussion also covered the timeline for completing the document, how audit report data might be computerized, and how the field personnel would be involved throughout the life of the project. An outline for the handbook evolved from the discussion. A member of the sub-committee assumed the responsibility for developing the outline to be shared with the General Committee. This outline was reviewed and modified at the next sub-committee meeting and forwarded to the General Committee for review and approval as previously discussed.

During subsequent meetings, each chapter of the handbook was developed and critiqued. Various approaches, definitions, and directions were discussed. As an example, the need for a definition of program audit resulted in the development of the following three possibilities:

1. The professional staff of the Department of Government Funded Programs visits sites, interviews principals and staff members, observes the status of program implementation and operation, and collects and records this information on an audit form. The audit staff reviews the data to ensure that the activity is operating in compliance with

the approved project narrative. Exceptions, if any, are reported to appropriate line officers (and the department staff) with a request that the department be notified as to how and when the audit exceptions have been corrected.

2. A program audit is an on-site examination, by trained personnel, of operative educational projects to ensure their compliance with established goals, objectives, and procedures.

   Especially for government funded programs, the audit is a functional necessity. Government agencies demand strict adherence to guidelines--the economic or educational deprivation of the children served, the ratio of teachers and paraprofessionals to children, the number and type of inservice meetings, the involvement of parents and community, the use of materials and equipment, and the dissemination of information about the educational approach--all are explicit in the contract entered into by the local educational agency and the funding source. That contract, like all other contracts, is an agreement which is binding upon all those who enter into it; therefore, care must be exercised in the implementation of the terms it contains, and it is the responsibility of the local

educational agency to monitor programs and to note exceptions wherever they occur.

3. Program audit is a method whereby essential elements needed to properly implement a program in accordance with guidelines of a funding agency, and the approved proposal prepared by and/or selected by a unit, are defined, analyzed, and classified under appropriate components so that they might be examined at the site where the project is in operation by an impartial team of auditors. Consideration is then given to reviewing the information acquired in order to correct any discrepancies or exceptions and to determine those discrepancies which happen on a recurring basis so that they might be avoided with proper planning.

Inasmuch as the handbook was being developed for use in other school districts in addition to Chicago, careful consideration was given to each area to make certain that the materials were not too specifically related to the Chicago public schools. However, the thrust of the narrative was addressed to the local system, with encouragement to other districts to modify the design as appropriate to meet their needs.

The sub-committee continued to work on the writing of the document throughout the months of October, November, and December 1973. Plans were formulated to "field test" the document during the month of January 1974.

Three members of the Evaluation Sub-Committee were assigned the task of developing a questionnaire to be used in conjunction with the "field test" of the handbook. Questions which required a response on a multiple choice basis were included, as well as open-ended requests for suggestions which would give specific recommendations as to how the handbook could be improved. When the draft copy of the handbook and the questionnaire were completed, the assistant superintendent wrote a letter of transmittal addressed to the two hundred administrators from within and outside of the school system who had been randomly selected, soliciting their cooperation in reviewing the document, completing the questionnaire, and returning it (see Appendix #3).

Of the two hundred questionnaires which were distributed, 92, or 46 percent, were returned. The suggestions included were carefully considered by the sub-committee and adjustments in the narrative and format were made, as appropriate. An analysis of the responses to the questionnaire is included in the section on the work of the Evaluation Sub-Committee.

The final copy was then ready for printing and was forwarded to the Graphics Sub-Committee which had been working on the layout design.

CHAPTER VI

GRAPHICS SUBCOMMITTEE

The Graphics Sub-Committee was charged with the responsibility of reviewing the possible layouts, format, photographs, materials, and colors to be used for the publication.

The Graphics Sub-Committee met on eight occasions to select graphics and to develop the layout for the handbook. Informal meetings were also held on occasion to discuss problems as they arose.

The sub-committee reviewed the narrative which had been prepared and studied a large variety of manuals and illustrated materials to choose the kinds of illustrations best suited to the narrative. The sub-committee looked at many brochures, magazines, and reports to ascertain the most appropriate and attractive layout possible, and also to determine the most adaptable format for the handbook.

The size and style, as well as the layout, of the handbook were discussed by the Graphics Sub-Committee and a number of alternatives were selected to be presented to the General Committee in order to allow them choice in such areas as the size of the document, quality of the paper, type style, and color to be used. After these determinations were made, the sub-committee selected the illustrations to be included and planned one final layout for the document.

The following decisions were ultimately made:

1. Size of manual will be 8½ x 11. The color of the cover will be a vivid blue with a contrasting second color.

2. The cover will consist of two parts - regular cover stock with a plastic overlay going halfway across the front. The plastic overlay will be of contrasting color to the vivid blue.

3. The color theme will be carried throughout the page borders of the manual.

4. Black and white photographs depicting "A day in the life of an auditor," related specifically to the narrative, will be used throughout.

One of the most important decisions which had to be made by the sub-committee was the type of illustrations to be used. The alternatives considered were:

- a symbol related to the audit function which would be repeated throughout the manual as appropriate
- a series of drawings related to the narrative, depicting auditors, teachers, pupils, and materials. These could be produced in either black and white or in tones
- a series of black and white photographs relating to the narrative.

In weighing the alternatives, the sub-committee considered cost, attractiveness, purpose, and relevancy. Relative costs were reviewed and a number of artists were contacted for assistance in determining the type of illustrations which would be most attractive and suitable to the copy.

Based on the input received, black and white photographs were chosen for the following reasons:

- a symbol would not be as attractive and would tend to be monotonous
- black and white line drawings are costly, used commonly, and, therefore, unimaginative
- toned line drawings are very expensive in both artist's cost and reproduction (estimated cost for a professional illustrator was about $1,200 using a rate of $15.00 per hour and an approximate time of 10 days - this cost is for line drawings only and no other graphic work)
- colored photographs were not considered since they are very costly to reproduce and do not reproduce well
- black and white photographs were less expensive than line drawings, and they allow for a wider selection since many can be taken in a short period of time. This makes it possible to relate the illustrations to the narrative in a very consistent manner. Photographs also are more realistic than line drawings and create a more vivid impression on the reader. Moreover, they can be changed more readily as the document is revised.

The final task for this sub-committee was the mechanics of getting the handbook printed. In accordance with the policies of the Board of

Education, a requisition was prepared and printing specifications were drawn up to be circulated to printers (see Exhibit #9). The Bureau of Purchases circulated the bid solicitation and ultimately awarded the work to the second lowest bidder. In order to remain within the budget which had been established, 3,500 copies were ordered at a cost of $8,960.

PURCHASE
R SERVICE
QUISITION

REAU OF PURCHASES
BOARD OF EDUCATION
CITY OF CHICAGO

School, Department, Bureau or Division Making this Request: Government Funded Programs

For Service or Delivery to (Record Full Name, Address, and Room No.):
Mr. Leon J. Leibik, Room 1123
Div. of Editorial and Comm. Services
Dept. of Gov. Funded Programs
228 N. LaSalle St.
Chicago, Illinois 60601

VENDOR NO.

VENDOR:

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DISCOUNT CODE

INVOICE NO.

BUDGET CLASSIFICATION

UNIT NO.	FUND	ACTIVITY	OBJECT
33-	6	275	46

TRANSFER ACCOUNT ( )

IN TICKET #

AMOUNT $

P.O. CODE

BY

BID NO.

BID LIST

ADV. DEP. BOND

PURCHASE ORDER OR JOB NUMBER

QTY	DESCRIPTION OF ARTICLE OR SERVICE	BD. OF ED. COMMODITY NO.
	Multiple bid for 2500, 3500, and	
	4500 copies of booklet entitled	
	"Program Audit Manual 1974"	
	according to the attached specifications.	
	A sample copy for bid purposes will	
	be furnished.	

n for request:

To facilitate carrying out Department program.

ENG'S EST. COST
$

BUDGET ALLOTMENT
$

Budget Request No.

APPROVED BY

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BUREAU OF PURCHASES
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CITY OF CHICAGO

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REFERRED TO	DATE	RETURNED FROM	DATE
NTROLLER		TO BOARD	
M CONTROLLER		TO ORDER	
		TO FILE	

O.

ING DATE

RECEIVED BY BUR. OF PURCHASES

DATE

REQUISITION NO. 636754

Leon J. Leibik

FROM Gov. Funded Programs

DATE March 6, 1974

BUDGET CLASSIFICATION

UNIT NO.	FUND	ACTIVITY	OBJECT
33	6	275	46

Give brief description of article or service Wanted:

BD. OF ED. COMMODITY NO.

Copies of booklet

"Program Audit Manual

1974"

USE THE ABOVE DESCRIPTION

DATE: March 6, 1974 REQUISITION NUMBER: 636754 Exhibit #9 (continued)

PRINTING SPECIFICATIONS

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CONTACT KAREN J. ROTH, (312) 641-4573, FOR APPOINTMENT TO VIEW MOCK-UP

TITLE	Program Audit Manual
QUANTITY	2500, 3500, 4500
# OF PAGES	72 pages text; 2 covers
SIZE	68 pages of text will be 8½" x 11" 4 pages of text will be 17" x 11" requiring one fold 1 cover will be 8½" x 11" 1 cover (acetate) will be 14" x 11" to fold to 5½" x 11" on front side and 8½" x 11" on back side
STOCK	Body: Frostbrite Coated Matte (Consolidated) basis 100 lb. Cover 1: Clear mylar acetate to caliper to 8 pts. Cover 2: Frostbrite Coated Matte Cover (Consolidated) basis 80 lb.
COPY	47 pages will be camera ready 25 pages will be typeset by printers (body type)
COLOR	Pantone Process Black Pantone 286 Pantone 368
HALFTONES	20 (will require work of printer)
LINE COPY TO BE PROVIDED BY PRINTER	67 pages will require strip rules. Of these rules, 45 pages will require two color rule borders (2 pt full face); 13 pages will require one color horizontal 2 pt full face rules; 1 page will require a two color horizontal rule; and 8 pages will require two color vertical rules.
SPECIAL REQUEST OF PRINTER	On two pages, we will be printing a light color (#2) over a darker color. When printing with color #1, reverse areas to be printed with color #2.
BINDING	Saddle stitch in three places.
PROOFS	Required for approval by the Division of Editorial and Communication Services.

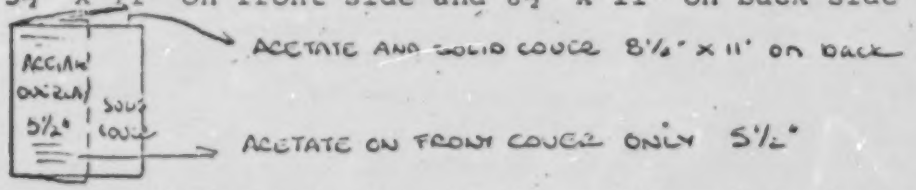

Exhibit #9 (continued)

PACKAGING	In adequate cartons clearly labeled with the name of the book, number of books in each carton, and the purchase order number.
DELIVERY DEADLINE	20 working days after receipt of copy by printer
DELIVERY	Leon J. Leibik Board of Education Department of Government Funded Programs Room 1123 228 North LaSalle Chicago, Illinois 60601

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CHAPTER VII

DATA COLLECTION SUBCOMMITTEE

In order to establish the mechanics of logging data on audit findings, a Data Collection Sub-Committee was established. The General Committee felt that a computerized data bank should be established to assist in the analysis of the data collected in the reviews conducted at the schools. This system would also provide the wherewithal to compare data collected one year against data which had been collected in previous years, in order to determine the improvement in implementation at a particular site as compared to the implementation in previous years and to identify areas which continued to need attention, or to identify new problems which may have arisen.

Since the beginning of the audit program, during the 1971-72 school year, a variety of forms had been developed and refined for the collection of information. From the content of these completed forms, reports were developed for the assistant superintendent to distribute to the appropriate line officers. However, weaknesses surfaced as the committee reviewed the procedures previously employed. The data gathered had never been fully evaluated to ascertain the frequency of some of the audit exceptions, nor had a procedure been established so that a school unit's performance, over a period of years, could be assessed.

Some exceptions which had a negative effect on program success were quite obvious. Late staffing, lack of materials, and a shortage of supplies were frequently noted. Other factors were not so obvious.

Therefore, the sub-committee was charged with the task of developing a computerized system to assist in the evaluation of the programs in operation on an ongoing, comparative basis.

In 1971 the need for a structured questionnaire to be used by auditors which would assist in the retrieval of data was immediately apparent. Staff proceeded to devise questionnaires of varicus types. Included were checklists which required only a "yes" or "no" response, open-ended questionnaires which required a narrative answer, and combinations of the two. The types of data which the auditors collected were consistent, but various forms were used in an attempt to determine which provided the most accurate and objective information. Samples of these instruments may be found in Appendix #4.

Perhaps because a structured program audit was a new concept in the Chicago public schools, continuous articulation between auditors and line administrators was required. Therefore, initially the most successful form was the open-ended questionnaire which required a narrative response to virtually all items to be covered other than attendance and enrollment. Forms of this type, specifically tailored to the guidelines of the various funding agencies, were developed and used during the 1971-72 school year. (See Appendix #5.)

As the auditing function continued and staff became familiar with agency guidelines and regulations for programs other than those for which they had a day-to-day responsibility, it became apparent to them that there were many similar requirements within most programs.

A general questionnaire, therefore, was developed for use during the 1972-73 school year for auditing most government funded programs. It was designed to check to determine if staff had been assigned to the school by the Department of Personnel, whether the staff was assigned within the school in keeping with the guidelines for the program, whether the accounting procedures were correct; whether materials, equipment, and supplies had been properly ordered, charged, and delivered; and whether areas of community involvement, staff development, dissemination of information concerning the program, and other items commonly mandated by the funding agencies had been adhered to during the course of the program. The auditor would sit with the principal and assist in the completion of the questionnaire (see Appendix #6).

In addition to the general form, two other kinds of forms were utilized. Since the initial visit to a program was to determine if the program had begun on time with proper staffing and materials, and did not include classroom observation, a short questionnaire was developed for this purpose which could be completed quickly so that deficiencies could be quickly corrected. Another questionnaire was developed for programs having very specific agency requirements. Head Start, funded by the Office of

Economic Opportunity and the State-Supported Bilingual programs, are examples. In most instances the responses required on all of these forms were of a narrative nature. (See Appendix #7.)

In 1973, the forms were revised because areas were identified for which information was not available under the system in operation as follows:

1. There had been no specific question concerning the supplemental nature of programs. Most funding is based on adding to the local district effort. Substituting for local funds (supplanting) is a violation of these regulations. Therefore, a question was added to cover this concern.
2. A provision for checking the accuracy of position accounting of funded personnel was added. A random interview with four funded personnel was held by the auditors during the classroom observation portion of the audit to verify that they were being charged to the correct position number and were engaged in the activity or program to which they were officially assigned.
3. At least four pieces of equipment were spot checked against the inventory on each visit. Findings were included in the audit report.
4. Items relating to community involvement and staff development were made more specific.

5. The basic questionnaire was redesigned in chart form requiring less narrative, but with a space at the end of each section for comments.
6. The one-page classroom observation form was expanded to include all programmatic aspects of the activity. It was printed on "no carbon required" paper with an original and three copies so that administrators might have immediate feed-back concerning findings and compliance.

The desirability of computerizing the data collected through program audit has become increasingly evident. More persons have requested specific data on a regular basis. More important, audit data collected over several years can be used to ascertain if exceptions have decreased, have remained consistent, or have become more severe on a comparative basis. Such data will be helpful as a basis for future planning.

The sub-committee which had been appointed to work on the computer program began by making a thorough investigation of all audit forms which had been used since the inception of the audit program to determine the common areas of information which had been collected.

A procedure was then devised to code the information from the current audit form for computerization. The steps undertaken were:

1. The audit form was revised (see Appendix #8).
2. An Audit Management Information Form and a Key for Recording Audit Exceptions were prepared (see Appendix #9).

3. Information from a sampling of audit reports was transferred to the audit management information forms by a secretary to determine the length of time necessary to complete transferring data for all reports of the current year and last year.

4. Last year's audit was coded for computerization so that a base year might be established. Additional clerical staff was assigned for this project for a short period of time.

5. A data processing program was written to retrieve the following information:

   types of audit discrepancies by activity from the coded form

   the number of audit discrepancies by category

6. This information will be used to:

   a. compare the types of audit discrepancies for 72-73, 73-74, by activity and by category for each participating school.

   b. ascertain improper implementation in the areas of: professional position vacancies, paraprofessional position vacancies, non-receipt of materials, non-receipt of supplies, non-receipt of equipment, improper enrollment, and improper selection of students.

   c. ascertain the significance of each audit discrepancy classification on program success.

   d. ascertain the significance of combinations of audit discrepancies on program success.

CHAPTER VIII

EVALUATION SUBCOMMITTEE

The Evaluation Sub-Committee had a dual charge. The first was to take a leadership role in the development of instruments to assess the effectiveness of the "Field Test" and "Final Program Audit Handbook" and to evaluate the responses received. The second was to conduct an assessment of the work of the committee as a whole.

The field test edition of the manual was completed in January 1974 and was distributed to a total of 200 staff members of the Chicago public and nonpublic schools, and to suburban school administrators. Each person who received the manual was requested to evaluate it and complete a questionnaire (see Appendix #3). Ninety-two persons responded. Eighty-five of the reviewers completed the questionnaire. Seven responded by letter.

The questionnaire contained two parts. Part 1 consisted of ten sections corresponding to the sections within the handbook from the preface through the appendix. Each section had from two to seven items for which responses were sought. A four-point scale, "Strongly Agree," "Agree," "Disagree," and "Strongly Disagree" was developed for recording responses to all of the items with the exception of the final one which requested that respondents suggest revisions that might be incorporated.

The questionnaire items included in Part 2 were designed to assess the reviewer's general reaction to the manual. A three-point scale was

used for three of the items and the final item solicited suggestions on how the handbook might be improved. All those who responded were included on the mailing list for distribution of a copy of the completed document.

The items on the questionnaire were designed to assess several characteristics of the material contained in the manual

appropriateness
clarity
relevancy
practicality
comprehensiveness
simplicity

The responses received from the 85 who had reviewed the document were generally positive in answering the 31 multiple choice items. The range of "strongly agree" on any single item was from 16 (19%) to 38 (45%). The range of "agree" on any single item was from 44 (52%) to 59 (69%). Suggestions for modification were made in the majority of instances where "agree" rather than "strongly agree" was indicated by the reviewer. There were also many instances where "agree" was indicated and no suggestions were made for modification of those sections. In a few instances, suggestions for modification were made even though "strongly agree" for an item had been indicated.

Though the number of reviewers who "disagree" with the 31 items was small, at least one person responded "disagree" with every item. The sections receiving the largest percentages of "disagree" responses per item were:

Introduction
Preservice of Auditors
Rationale

The section for which the smallest percent of "disagree" responses was noted was, "Organization."

For the ten questions requesting a written comment on revision, there were a variety of responses. In five sections at least three persons commented in the following way:

Introduction	f
Wordy	4
Rationale	
Make more concise	3
Procedures	
The procedures described will not insure objectivity	4
Change title to Procedures for Audit	3
Inservice	
More details needed if this is to serve as a guide	4
Change title to Inservice of Auditors	7
Audit Exceptions	
Audit exceptions should be discussed with the principal before leaving	7

Part II of the field test questionnaire contained three items which requested the reviewers opinion of the total manual with relation to

relevancy
practicality
readability

The responses of the 85 reviewers who completed the questionnaire were largely distributed over three points of the scale. The replies to this section were somewhat more pointed due to the nature of the categories. Note the scale values for the two parts shown below:

Scale Value	Part II	Part I
4	Very positive	Strongly Agree
3	Positive	Agree
	Relevant Practical Easy to Read (readable)	
2	Somewhat positive	Disagree
1	Negative	Strongly Disagree
	Irrelevant Impractical Very Difficult to Read	

There was a "positive bunching" of responses in Part 1 in the "strongly agree" and "agree" categories of the scale, while a greater variation existed in the reviewer's responses to the items in Part II. As a result, Part II yields a slightly clearer picture of the feelings of the reviewers. From the variation in responses to Part II when compared to "positive" bunching of Part I, it can be inferred that the reviewers evidently did not consider "disagree" synonymous with "somewhat positive."

It is notable that in item three, where the term "somewhat" was not a part of the scale, the "positive bunching" of responses occurred in a similar manner to that of Part 1.

The very positive responses for Part II ranged from 21 (25%) to 31 (36%); positive responses showed a range of 32 (38%) to 46 (54%) and somewhat positive responses showed 27 (32%) and 17 (20%) respectively. The third item which contained the more negatively stated opinion showed a 4 (5%) negative response. The following summary shows the responses to the three choice items in Part II.

Field Test Questionnaire Summary

Part II

1. How relevant is the manual to your local needs?

	Very Relevant	Relevant	Somewhat Relevant	Irrelevant	No Response
Frequency	21	32	27	2	3
Percent	25%	38%	32%	2%	4%

2. How practical are the procedures and guidelines offered in the manual?

	Very Practical	Practical	Somewhat Practical	Impractical	No Response
Frequency	25	39	17	1	3
Percent	29%	46%	20%	1%	4%

3. How readable is the manual?

	Very Easy To Read	Easy to Read	Difficult to Read	Very Difficult to Read	No Response
Frequency	31	46	4	--	4
Percent	36%	54%	5%		5%

The data gleaned from the "Field Test Questionnaire" was shared with the Writing Sub-Committee to be considered as the draft was refined and developed into final form.

Two other instruments were developed by the Evaluation Sub-Committee which dealt with the handbook. Both were designed to receive feedback from the field on the use of the handbook so that the effectiveness of this endeavor could be more accurately measured and to gather information to be incorporated into a rewritten document at a future date.

A supply of a very simple form was attached to the letter of transmittal from the assistant superintendent to those receiving the handbook (see Exhibit #70). The recipients were asked to complete a copy of the form and send it to the Department of Government Funded Programs each time the handbook was consulted. If a question was answered within the document, this was to be recorded. If the question could not be answered, it was to be recorded. Written responses will be supplied to any question not covered and steps will be taken to incorporate appropriate information in a revision at a later date.

The second instrument was developed by the Evaluation Sub-Committee in cooperation with the General Committee. A letter from the assistant superintendent to committee members dated May 7, 1974 solicited questions to be incorporated into an instrument to be distributed in six months for purposes of evaluation and to gather data for a rewrite of the handbook if this appeared to be necessary.

BEST COPY AVAILABLE

Please send a copy of the PROGRAM AUDIT MANUAL 1974 to:		
(Name)		
(Address)		
(City)	(State)	(Zip Code)
(Organization Affiliation)		

INSTRUCTIONS

After you have read and become familiar with this manual on Program Audit procedures, your comments regarding the manual's usefulness, its content, and any suggestions that you feel would improve the manual would be appreciated. Thank you.

COMMENTS: _____

_____

_____

Also, would you please answer the following questions:	Yes	No
1. Can you now determine the function of program audit.	___	___
2. Can you now determine the role/responsibility of program auditors.	___	___
3. Have you changed your perception of program audit	___	___
4. How often do you think you will use this manual next year.	___	___

5. How would you rate the quality of this manual. Superior___ Good___ Fair___

6. Which section do you think will be most useful to you Section #____

7. Which section do you think will be least useful to you. Section #____

8. Did you use this book to find an answer to any questions about the audit function. NO_____ YES_____

   If YES: What was the question?

   _____

   _____

9. Did you find an answer in the audit handbook NO_____ YES_____

   If YES: What page?_____

In order to get some feedback from the committee members concerning the work of the committee and an assessment of their personal involvement, the Evaluation Sub-Committee also prepared and distributed with the letter an instrument which was to be completed and returned (see Exhibit #11).

Another task for the evaluation group was an assessment of the time and effort factors involved in the completion of the Handbook. Attendance records were maintained for all of the General Committee meetings. The attendance rate was 87 percent, which is a very favorable response. Soon after the formation of the sub-committees it became apparent that keeping accurate time and attendance records was impractical. The sub-committees met often, both formally and informally, for varying lengths of time. All members were not involved in all activities. However, based upon observation of the various activities and an assessment of the conduct of the regular departmental and field duties, it was apparent that other responsibilities were not neglected.

The time line which was established at the outset was met for every major step within the project.

Twenty-five members of the General Committee complied with the request. The data received for inclusion in the questionnaire to be distributed in six months will be held by the chairman and eventually developed into an instrument. A tally of the responses to the instrument on involvement of the committee showed a very positive reaction from the participants. (See Exhibit #12.)

BOARD OF EDUCATION

Exhibit #11

CITY OF CHICAGO
228 NORTH LASALLE STREET
CHICAGO, ILLINOIS 60601
TELEPHONE 641-4141
JAMES F. REDMOND
GENERAL SUPERINTENDENT OF SCHOOLS

AMES G. MOFFAT
SISTANT SUPERINTENDENT
OVERNMENT FUNDED PROGRAMS
ELEPHONE 641-4500

May 7, 1974

Dear :

We are now in the process of preparing an evaluation questionnaire to accompany the Department of Government Funded Programs publication, A Guide to Program Audit, when it is ready for distribution. Since you recently participated in the development of this publication, we are asking that you lend us further assistance as follows:

1. Sending us any questions that you feel are appropriate for use in the questionnaire which we are developing for evaluation of the guide.

2. Complete the enclosed General Committee Questionnaire.

Both your suggestions for evaluation of the guide and the completed General Committee Questionnaire, should be returned no later than May 17, 1974, to this department.

Your continuing cooperation in these matters will be most valuable to the department in its planning and implementation of future services.

Sincerely,

JGM: k

James G. Moffat

Sent to Committee Members

Exhibit #11
continued

A GUIDE TO PROGRAM AUDIT

General Committee Questionnaire

1. Was the membership of the general committee sufficiently representative to carry out the tasks assigned to the committee?

   Yes___ No___ Not Sure___

2. Was each general committee member's input considered by staff?

   Yes___ No___ Not Sure___

3. When first asked or appointed to serve on the committee, were you interested in serving on a committee to develop a guide to program audit?

   Yes___ No___ Not Sure___

4. Are you interested in serving on future general committees?

   Yes___ No___ Not Sure___

5. Was membership in the committee a worthwhile experience for you?

   Yes___ No___ Not Sure___

6. Did the committee function as well as you expected?

   Yes___ No___ Not Sure___

7. Do you believe most of the other members benefited from their membership in the committee?

   Yes___ No___ Not Sure___

8. Rate the Guide to Program Audit which the committee produced by drawing a circle around one of the following descriptive words which best expresses your opinion of the publication's value to the Chicago public schools.

   None Limited Some Much Great

9. Make additional suggestions and comments relating to the committee and its work on the reverse side of this page.

Please complete and return this questionnaire, no later than May 17, to the Department of Government Funded Programs, Room 1130, Mail Run #65.

Tally of Responses
N = 25

Exhibit #12

A GUIDE TO PROGRAM AUDIT

General Committee Questionnaire

1. Was the membership of the general committee sufficiently representative to carry out the tasks assigned to the committee?

   Yes 25 No 0 Not Sure 0

2. Was each general committee member's input considered by staff?

   Yes 19 No 2 Not Sure 4

3. When first asked or appointed to serve on the committee, were you interested in serving on a committee to develop a guide to program audit?

   Yes 17 No 4 Not Sure 4

4. Are you interested in serving on future general committees?

   Yes 17 No 5 Not Sure 3

5. Was membership in the committee a worthwhile experience for you?

   Yes 22 No 3 Not Sure 0

6. Did the committee function as well as you expected?

   Yes 19 No 5 Not Sure 1

7. Do you believe most of the other members benefited from their membership in the committee?

   Yes 12 No 0 Not Sure 13

8. Rate the Guide to Program Audit which the committee produced by drawing a circle around one of the following descriptive words which best expresses your opinion of the publication's value to the Chicago public schools.

None	Limited	Some	Much	Great
		6	8	11

9. Make additional suggestions and comments relating to the committee and its work on the reverse side of this page.

   NONE

Please complete and return this questionnaire, no later than May 17, to the Department of Government Funded Programs, Room 1130, Mail Run #65.

CHAPTER IX

CONCLUSION

The impact of a program audit project will be measured by executive administration, Boards of Education, and the general public based primarily upon the progress of the pupils who participate in the instructional programs which were audited. The purpose of the handbook, which was developed through the conduct of this practicum, is to further assist school administrators in conducting meaningful program audits. A premise embraced within the framework of this project has been that early identification of problem areas, and timely remediation can significantly improve the results of programs.

The work already accomplished in the area of program audit in the Chicago public schools has already borne fruit. The final evaluation of the Title I activities for the 1972-73 school year indicated that participating pupils had a gain of seven months for eight months of participation.[11] In a comparable testing period, the 1971-72 gain was five months.[12] The increase for 1972-73 was even more significant when compared to 1970-71 when the gain was four months.[13]

When one assessed these gains, it must be remembered that participating pupils are selected from the lowest quartile of the grades served.

The General Superintendent of Schools acknowledged the importance of the program audit activities in his letter of March 8, 1974, to the members of the Board of Education of the City of Chicago, transmitting the Title I Evaluation Report for 1971-72: "In reviewing the achievements of the ESEA Title I 1972-73 project, consideration should also be given to the effect of internal program audit upon the project. The Department of Government Funded Programs implemented an internal monitoring system at the beginning of the 1971 school year for all government-funded programs in the Chicago public schools. This audit system, by providing early feedback to personnel concerning guidelines adherence, has contributed to the gains achieved by the pupils participating in government-funded programs."

Rarely a week goes by when the newspapers do not carry stories concerning school systems which are accused of audit exceptions in the implementation of federally funded programs, with an accompanying demand for repayment of funds.

The handbook was received from the printers on June 3, and distributed to all of the Chicago public schools, to surrounding school district offices, and school officials throughout the country. (See Appendix #10).

It is the hope of those who have worked to produce the Program Audit Handbook that it will assist school personnel throughout the nation to improve the delivery of services to the children enrolled in our schools.

FOOTNOTES

[1]H.E.W. Audit Report, Title I of the Elementary and Secondary Education Act of 1965, State of Illinois and the Chicago Board of Education, Period: September 23, 1965, to August 31, 1966

[2]Draft of the Report to the Congress of the United States, The Federal Program of Aid to Educationally Deprived Children in Illinois Can be Strengthened - Office of Education, Department of Health, Education, and Welfare, pg. 2

[3]Ibid, pg. 13

[4]Ibid, pg. 15

[5]Ibid, pg. 35

[6]Memorandum from John F. Hughes, Director, Division of Compensatory Education, USOE, to Chief State School Officers, April 14, 1967.

[7]Memorandum from Commissioner Harold Howe II, USOE, to Chief State School Officers, March 18, 1968.

[8]Memorandum from Commissioner Harold Howe II, USOE, to Chief State School Officers, July 2, 1968

[9]Organization Survey-Board of Education, City of Chicago, May 1967, Booz, Allen & Hamilton Inc., Management Consultants

[10]"Special Program in Reading and Language (SPIRAL) Activity," Comparative Analysis of ESEA Title I Reading Activities 1971-72 Final Evaluation Report, prepared by Educational Testing Service, Evanston, Illinois

[11]ESEA Title I 1972-73 Final Evaluation Report - Volume I

[12]ESEA Title I 1971-72 Final Evaluation Report - Volume I

[13]ESEA Title I 1970-71 Final Evaluation Report

Appendix # 1

PROGRAM AUDIT: A MOVE TOWARD ACCOUNTABILITY

A Proposal Submitted for Funding

James F. Redmond
General Superintendent of Schools

Board of Education of the City of Chicago

October 1973

A. Abstract

This proposal seeks funding to improve the quality of educational programs for children participating in government funded programs through more effective and efficient internal program auditing procedures which have been developed and which will be published in a comprehensive handbook under the leaderhips of the assistant superintendent of schools for the Department of Government Funded Programs of the Board of Education of the City of Chicago.

The trend toward accountability in education has brought about improvement in the quality of educational opportunities for children by placing renewed emphasis upon adherence to the goals, objectives, and procedures of programs designed for that purpose. Program audit is a functional necessity the major objectives of which are the following:

To observe programs to determine if they are being implemented in accordance with the approved design

To transmit information concerning audit exceptions to the appropriate line officer so that discrepancies can be corrected

To develop articulation between local schools and management so that guidelines will be clearly understood and programs implemented accordingly

To obtain input from field personnel in order that program guidelines which are consistent with contractual limitations and helpful to successful program implementation may be developed.

The proposed handbook of audit procedures will fill an unmet need which has long existed because funds are not available for its publication.

The handbook will be written and produced by personnel of the Department of Government Funded Programs and representatives of other units within the organization; however, funds will be required for a part-time artist, copy preparation, printing, and postage.

B. Priority Area

Government funded programs have been carefully designed to improve teaching-learning situations and to achieve stated goals through articulated means. The probability of program success will be enhanced if the number of pupils being served is in accordance with the design of the proposal, if the services of teachers are not diverted to other assignments at the expense of the program, if auxiliary staff are involved as specified in the proposal, if supplementary materials and equipment are available and properly used, if test results are used to plan more meaningful learning experiences, and if all other directives are followed.

C. Objectives (See Pages 4 and 5)

D. Dissemination

Draft copies of the audit procedure handbook will be disseminated through local school advisory councils to communities, and their input and opinions will be sought so that changes and revisions may be made before the final publication and national distribution.

In addition, information about the handbook will be disseminated through inservice meetings, announcements in the Superintendent of Schools Bulletin, letters to administrators within other school systems, and through notices of availability in government publications.

E. Evaluation (See Page 6)

F. Innovativeness

The Department of Government Funded Programs, under the direction of the assistant superintendent, originated in fiscal 1972 the internal audit of programs funded by government agencies.

Prior to that time, and to date, no instrument such as the proposed handbook had been developed to audit adherence of government funded programs to stipulated guidelines.

G. Participation of Children and Teachers from Private Nonpublic Schools

Administrators and teachers from private nonpublic schools will receive copies of the handbook and will be invited to attend inservice meetings outlining its use.

C. Goal - To improve quality education for children participating in government-funded programs by the publication of a handbook to increase staff awareness of audit procedures.

OBJECTIVE	PROCEDURE	EVALUATION
1. Using the procedures developed, tested, and revised by the Department of Government Funded Programs and provided with the funds requested, the department will write, publish, and distribute throughout the local system copies of a program audit handbook.	A steering committee consisting of program managers will be formed to determine what items are to be included in the handbook. Possible inclusions are objectives of audits, scope of program audit, and audit procedures. The committee will meet on an ongoing basis to critique, revise, and approve all sections of the handbook. Handbook will be distributed to all units of the Chicago public schools and shared with other school districts.	Pre, interim, and post review of materials. Publication and distribution of the handbook to 600 units and to appropriate area, district, and central office staff.
2. Given inservice in the use of a program audit handbook, 75 percent of the auditors will improve their ability to monitor programs as evidenced by their submitting more comprehensive and detailed auditing reports.	Inservice sessions on the use of the handbook will be conducted for auditors by personnel of the Department of Government Funded Programs. Auditors will refer to the handbook as they conduct audits of programs.	The Division of Research and Evaluation's review of reports will result in descriptive statistics of a pre-, interim, and post basis.
3. Ongoing monitoring, using procedures and techniques outlined in the audit handbook, will result in a 50 percent improvement in the adherence of government funded programs to stipulated guidelines.	Monitoring of programs will be conducted on a regular schedule. Auditors' reports will be received and reviewed. Discrepancies will be noted and reported to administrative units.	Number of audit exceptions will decrease monthly to level noted.
4. Improved monitoring techniques will result in desirable program modification through the program amendment process. There will be a continual decline in discrepancies between stipulated guidelines and reported operations.	Review of audit findings by appropriate administrators will determine necessity for modification in guidelines or procedures for operation.	Number of audit exceptions will decrease monthly in a comparison of fiscal year 1973 and 1974.

OBJECTIVE	PROCEDURE	EVALUATION
5. Compliance with the guidelines will result in a decrease of discrepancies and improvement in the quality of the programs.	Division of Research and Evaluation will analyze test data.	Study to be conducted by the Division of Research and Evaluation.
6. Before the handbook is distributed its quality will be evaluated.	Special review by representatives of the executive administrators group within the Chicago public schools	Questionnaire and narrative assessment.
7. Upon publication of an audit procedure handbook, the Department of Government Funded Programs will make available copies to local educational agencies involved in government funded programs throughout the United States.	Announcements of the availability of the handbook will be sent to all chief state school officers and to private and non-public schools and to the Office of Education.	Audit of mailing responses to Research and Evaluation.

E. Evaluation

Objective	Baseline Data	Instruments	Timeline	Personnel	Use
1	Materials currently in use	Review of old and new materials	Jan. '74 pre April '74 interim August '74 post	Division of Research and Evaluation	Needs Assessmen Formative and summative evaluation
2	Current 1973 reports	Review of reports	Jan. '74 pre April '74 interim August '74 post	Division of Research and Evaluation	F and S Evaluation
3 & 4	Current 1973 audit exceptions	Tally sheets	Monthly	Division of Research and Evaluation	F and S Evaluation
5	1973 growth in selected programs		As test results become available	Divission of Research and Evaluation	Summative Evaluation
6	Not applicable	Audit list of where letters were sent	After publication	Division of Program Audit	Summative Evaluation

Program Audit: A Move Toward Accountability

BUDGET

Clerical Support (Part-time typist for project)		$2,000
Non-professional (Part-time artist)		1,000
Materials:		
Paper and printing of 6,500 program audit handbooks		6,000
Dissemination of handbooks		100
	TOTAL	$9,100

Members of the Department of Government Funded Programs will reserach and prepare the materials for publication.

BOARD OF EDUCATION
CITY OF CHICAGO
228 NORTH LASALLE STREET
CHICAGO, ILLINOIS 60601
TELEPHONE 641-4141
JAMES F. REDMOND
GENERAL SUPERINTENDENT OF SCHOOLS

JAMES G. MOFFAT
ASSISTANT SUPERINTENDENT
GOVERNMENT FUNDED PROGRAMS
TELEPHONE 641-4500

BEST COPY AVAILABLE

September 27, 1974

Dear :

The Department of Government Funded Programs of the Board of Education of the City of Chicago has developed a project for increasing the effectiveness of inservice programs given to local school units in the process, methods, and techniques of proposal writing. We plan to create audiovisual and printed materials to be used in proposal development workshops for principals, staff, and community representatives.

There is an urgent need for such a project, not only in Chicago, but also in school systems throughout the country, with whom, of course, we shall be most happy to share these materials.

Approximately $10,000 is needed to create and disseminate the various items necessary to the success of this activity. May we, therefore, solicit your support in underwriting all or as much of this project as you may find it possible to do at this time.

I have asked Robert L. Johnson, a member of the staff of the Department of Government Funded Programs, to contact you and provide any additional information you may desire.

Sincerely,

James G. Moffat

JGM:l
enclosure

APPENDIX #2

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Program Audit Checklist
General Information

School_____ Auditor(s)_____

Activities_____ Date_____

1. STAFFING

a. Does staffing at the school coincide with our staffing information? List any discrepancies.

b. List by activity any unfilled positions.

Professional		Paraprofessional
Activity	Position No.	Activity

c. Are teachers charged to the correct position numbers? Verify four teaching position numbers by asking the teachers in what activity they are working and checking the division openings for these.

2. MATERIALS, SUPPLIES, EQUIPMENT

a. Approximately what percent of the materials and supplies were not delivered as of the audit date?

b. Did the materials for structured reading programs arrive on time? If not, indicate the activities for which they were not delivered.

c. List materials and numbers of purchase order over the amount of $100 that have not been delivered as of the audit date. Give the date of the requisition. (Comprehensive audit only.)

d. List equipment and the purchase order numbers that have not been delivered as of the audit date. Give the date of the requisition.

e. Please remind the principal that invoices must be returned immediately.

f. Is there an updated inventory of equipment? Spot-check at least four items.

g. For structured programs, is the equipment necessary for the operation of the activity functioning and located in its appropriate setting?

3. COMMUNITY INVOLVEMENT

a. Is there a separate advisory council for government-funded programs? If not, how often are government-funded programs discussed at regular council meetings?

b. When and how frequently does the advisory council meet?

c. How many members are on the council?

d. What percent are parents?

4. INSERVICE

a. What inservice do professional and paraprofessional personnel in government-funded programs receive?

b. Briefly describe your inservice programs for government-funded personnel.

c. Who conducts the inservice?

5. DISSEMINATION

How is information concerning government-funded programs disseminated? (Have the principal fill out the form prepared by Editorial and Communication Services.)

6. CLASSROOM OBSERVATION

The information pertinent to the following questions is to be filled in on the form provided. Directions concerning use of this form are printed on its reverse side.

a. Check test scores of one or two eligible pupils in each class to determine whether they meet eligibility guidelines.

b. Is staff used in conformity with stipulated guidelines? (If not, note discrepancies.) Check schedules of teachers and paraprofessionals.

c. Is equipment for the program properly labeled? Check for items.

d. Is equipment available for classroom use?

e. Check for conformity and availability of instructional materials with the correct activity. Note this on the form provided.

f. According to the teacher's class list and daily time schedules, how many children are being served daily in each class? Note observed attendance.

g. Are there time conflicts which reduce the time the child participates in the core programs. List them.

h. Are books properly labeled with the information concerning the funding source and in evidence in the classroom?

i. Are the Title I participants involved in other Title I activities? Indicate this in the column labeled Observed Supportive Services. List the numbers of pupils so involved.

j. Are Title II mateirals properly labeled and is there an inventory of these? (These are to be in the school library with the teacher librarian.)

7. COMMENTS

a. Principal's comments.

b. Auditor's comments. Do the programs appear to be operating within guidelines?

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BOARD OF EDUCATION
CITY OF CHICAGO
228 NORTH LASALLE STREET
CHICAGO, ILLINOIS 60601
TELEPHONE 641-4141
JAMES F. REDMOND
GENERAL SUPERINTENDENT OF SCHOOLS

JAMES G. MOFFAT
ASSISTANT SUPERINTENDENT
GOVERNMENT FUNDED PROGRAMS
TELEPHONE 641-4500

January 18, 1974

Dear :

During the past three years, the Department of Government Funded Programs of the Chicago public schools has developed program audit techniques to ensure that government funds are expended within contract guidelines, to decrease the number of exceptions, and to improve the educational programs available to participating children.

The Department of Government Funded Programs is preparing a program audit procedures manual to promote the achievement of these objectives. Since this entire project is possibly the first of its kind attempted by any school system, we hope that by sharing our experiences with other school districts and groups, we may help them to develop their own internal audit procedures.

To ensure that this document will reflect the participation of all staff of the Chicago public schools and to present the best possible manual, I would appreciate your reviewing the enclosed draft copy and returning the evaluation to my office by January 31, 1974.

Your reaction will help us further develop our plans to disseminate guidelines and procedures for conducting an internal audit of government funded programs. Thank you for your cooperation in this most imporrtant task.

Sincerely,

James G. Moffat

JGM:kw
Enclosure

Sent to:
Chicago public school principals
Non-public schools
Community representatives

Mailing List

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ool	Principal	Area	Mail Run
en High School	Dr. Marie V. O'Brien	A	64
able High School	Frank Lucente, Jr.	A	62
e Park High School	John W. Hahn	B	59
bard High School	Roland J. Long	B	59
wood High School	Elizabeth T. Mollahan	A	66
shall High School	Richard C. Portee	C	67
ker High School	Mrs. Mary A. Saxton	A	61
th Shore High School	Dr. Nicholas P. Kushta	A	64
den High School	Edmund J. Kubik	B	62
ls High School	Dr. Joseph H. DiLeonarde	C	51
oley U.G.C.	Mr. Edward C. Bennett	C	51
tinghouse Voc. H.S.	Dr. Raphael P. Sullivan	C	67
o	Mrs. Hermese E. Roberts	B	58
sberry Child-Parent enter	Mrs. Debora Gordon	C	67
atley Child-Parent enter	Dr. Ernest C. Billups	A	63
g E.V.G.C.	Mr. Michael Lag	B	52
rp E.V.G.C.	John F. Smith	A	64
per UGC	Virginia Godenrath	B	57
UGC	Loretta M. Francis	C	53
ley UGC	Mr. Blaine DeNye	C	67
y UGC	Dr. Keith C. Weese	B	67
ker Park UGC	Mrs. Emilie U. Lepthien	C	51
tt Middle School	Alvin C. Boyd	A	62
ridge	Mrs. Chesna C. Weisberg	A	63
strong	Sheldon E. Barron	C	55

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chool	Principal	Area	Mail Run
valon Park	Thomas J. Kernan	A	66
ass	Donald E. Sparks	A	61
aum Br. of Twain	Mary P. Mackin	B	59
eethoven	Dr. Melvin M. Lubershane	A	62
ennett	Robert Long	A	60
laine	Karl Siewers	C	54
rainard	Joseph D. Murphy	B	52
right	Lester A. Bensema	A	64
uckingham Br. of Warren	Loretta I. Mulcahy	A	64
urnham	Regina T. Koehl	A	64
yford	Michael Fabing	C	53
ampos Bilingual Center	Natalie A. Picchiotti	C	51
arter	Robert W. Pospishil	A	61
appell	Douglas Mcderow	C	54
lay	Jean G. Dillion	A	64
olumbus	Michael Striegl	C	51
opernicus	Robert E. Hagan	B	59
ullen	Lewis J. Webster	A	63
olano	Bernard M. Tanenbaum	C	67
ewey	Mrs. Penelope Robinson	B	62
oniat	Michael Minkin	B	58
ouglas	Walter R. Fasan	B	58
uffy	Robert J. Dreuth	A	63
vorak	Benjamin H. Terry	B	57
inger	Dr. Frances Pietch	C	56
nstein	Sander M. Postol	B	58

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chool	Principal	Area	Mail Run
ers	Bruce E. Troutman	A	60
elsenthal	Vincent A. Castrogiovanni	B	58
lnton	Mr. Lewis J. Webster	A	61
ulton	Louis Asher	B	59
ary	Mary A. Finan	B	57
oldblatt	Mrs. Peggy W. Jackson	C	53
ray	Robert A. Kellberg	C	50
resham	Mary Ann Peterson	A	60
ines	Edmond E. Walsh	B	58
ancock	Marion L. Castle	B	60
aven	Daniel G. Breen	B	58
ealy	Patrick D. Noonan	B	62
endricks	Edwin L. Ford	B	62
erzl	John P. McGovern	B	57
olden	Lillian F. Bowden	B	62
owe	James A. Clear	C	53
urley	Dr. Ruth O. Secord	B	59
mieson	Mrs. Elizabeth Brayton	C	55
ohnson	Herschel J. Rader	B	57
ershaw	Samuel R. Altshuler	A	61
ipling	Mrs. Margaret D. Julstrom	A	60
afayette	Dr. Ira H. Monell	C	51
cMoyne	William A. Pollak	C	54
inne	Marie L. Steiner	C	50
owell	Maude H. Carson	C	50

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School	Principal	Area	Mail Run
nn	Mrs. Beverly Daniels	A	64
son	Raymond Gerlik	B	57
cCorkle	Dr. Walter E. Bjork	A	62
cDade	Thomas E. Ruffin	A	60
dill	Mrs. Miriam A. Potnick	B	52
llison	Dorothy A. Stevens	B	53
rris	Betty L. Gorman	C	54
lligan	Alice M. Maresh	C	54
il	Madeline G. Sheridan	A	66
ightingale	John J. Glazier	B	59
kenwald North	Burton W. Friedman	B	58
'Keeffe	Gus Cheatham	A	64
tis	Stanley Smart	C	51
almer	Theodore W. Wallschlaeger	C	50
ark View Branch of Owen	Mrs. Kathryn A. Cornia	B	60
enn	Mrs. Anna K. Egan	B	57
ickard	Dr. Edward J. Uber	B	57
ortage Park	Jeanne M. Kehoe	C	50
ullman	Leonard M. Golber	A	63
eavis	Raymond F. Hoffmann	A	66
iis	Theodore E. Hagensee	B	52
uggles	Ned Lee McCray	A	66
awyer	James D. Morley	B	59
ewberry	Miss Mary A. Ransford	C	54
ess U.G.C.	Mr. Major Armstead, Jr.	B	57
epard	Mrs. Sonja K. Becvar	B	57

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School	Principal	Area	Mail Run
Shields	Donald F. Kimball	B	57
Skinner	Arthur M. Shapiro	B	52
McCutcheon	Miss Mary E. Foran	C	55
Stevenson	Dr. Kathleen C. Cartan	B	60
Stowe	Mildred E. Chuchut	C	50
Swift	Seymour Miller	C	55
Terrell	Kenneth J. Deiml	A	62
Thorp, Ole. A.	Reynolds A. Hungerford	C	53
Twain	Mary P. Mackin	B	59
Vacker	Howard Felder	A	60
Washington	Lois K. Schmidt	A	64
West Pullman	Elizabeth Van de Roovaart (Dr)	A	63
Locke	Mr. Arthur A. Fumarolo	C	53
Woodson North	Leroy R. Hansen	B	58
Yates UGC	Herman R. Margolis	C	51

Nonpublic Schools

Sr. Susan Marie Curtin
St. Ambrose
1014 East 47th Street
Chicago, Illinois 60653

Sr. Bertilla Barrett
Our Lady of the Angels
3814 West Iowa
Chicago, Illinois 60651

Sr. Mariea McKee
St. Bede the Venerable
4440 West 83rd Street
Chicago, Illinois 60652

Rev. H. Robert Clark
Archdiocese of Chicago
721 North LaSalle Street
Chicago, Illinois 60610

Sr. Marion Murphy
Blessed Sacrament
2130 South Central Park
Chicago, Illinois 60623

Mr. Edward F. Krueger
Office of Christian Education
77 West Washington Street
Chicago, Illinois 60602

Miss Grace Creighton
St. Bernard
6547 South Stewart
Chicago, Illinois 60621

Rabbi Isaac Mayefsky
Associated Talmud Torahs
2828 Pratt Boulevard
Chicago, Illinois 50545

Mr. Earl M. Singleton
St. Frances X. Cabrini
751 South Sacramento
Chicago, Illinois 60612

Mrs. Anne Tyskling
Harvard-St. George School
4731 South Ellis Avenue
Chicago, Illinois 60615

Mr. Edward Pollack
Holy Cross
6537 South Maryland
Chicago, Illinois 60637

Sr. Mary Jane
St. Michael
1620 North Hudson Avenue
Chicago, Illinois 60614

COMMUNITY MEMBERS MAILING LIST FOR PROGRAM AUDIT

MANUAL

Mrs. Willa Mae Gardner
4345 So. Langley
Chicago, Illinois 60653
(Woodson South) - Title I Advisory Council Member

Mrs. Billie J. Paige
Citizens Schools Committee
9036 South Blackstone
Chicago, Illinois 60619 - ESAA Community Council President

Mrs. Laura James
656 North Spaulding
Chicago, Illinois 60624
(Beidler School - Head Start Parent Advisory Council

Ms. Ophelia Gonzalez Ross
3520 No. Broadway
Chicago, Illinois 60657 - EPDA Council Representative

Mr Lalo Carrizales
9727 So. Houston
Chicago, Illinois 60617 - Bilingual Council Representative

BOARD OF EDUCATION
CITY OF CHICAGO
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JAMES F. REDMOND
GENERAL SUPERINTENDENT OF SCHOOLS

JAMES G. MOFFAT
ASSISTANT SUPERINTENDENT
GOVERNMENT FUNDED PROGRAMS
TELEPHONE 641-4500

January 18, 1974

Dear :

The Department of Government Funded Programs, Board of Education, City of Chicago, is preparing a program audit manual based on our experiences in monitoring government-funded programs. The purpose of this manual is to improve program audit procedures within the Chicago public schools and to share with other school districts and agencies its successful monitoring procedures developed by the department.

This manual will be available for a field test within the next several weeks.

Since we will share our experiences with other school districts when the manual is completed, we are including districts other than our own in a field test.

I would appreciate your distributing copies of this field test manual to 4 of your administrators, ask them to read and respond to a brief questionnaire which is enclosed. This field test will assist us in determining whether this document might be of value in a school district such as yours and the additional information it should contain if an internal program audit were to be initiated in a school district such as yours.

We appreciate any assistance you may be able to give us in this endeavor.

Sincerely,

James G. Moffat

JGM:kw
Enclosure

Sent to:

Superintendents of - Gary, Indiana
Chicago Heights, Illinois
Niles, Illinois

Program Audit Manual
Field Test Questionnaire

NAME _____

POSITION _____ DISTRICT OR AREA _____

BUSINESS ADDRESS _____ TELEPHONE _____

SCHOOL SYSTEM _____

Please mail the completed questionnaire by January 31, 1974 to --

James G. Moffat, Assistant Superintendent
Department of Government Funded Programs
Board of Education, City of Chicago
228 North LaSalle Street, Room 1130
Chicago, Illinois 60601 (Mail Run # 65)

Part I

This part of the field test questionnaire requests your specific suggestions for improvement in the content of the manual.

The sections of the manual for which your comments are requested are as follows:

Preface
Introduction
Section 1 - Rationale
Section 2 - Organization
Section 3 - Procedures
Section 4 - Preservice of Auditors
Section 5 - Audit Exceptions
Section 6 - Benefits of Audit
Section 7 - Use of Program Audit for Total Operation
Appendix

Please circle the response which best characterizes your reaction to the material contained in each section. Space has been provided for specific suggestions regarding modification.

It will be helpful if you will include the page number and the number of the paragraph for which the revision is suggested.

If additional space is needed, please use the back of the sheet, or, if necessary, add additional sheets.

Preface

1. The purpose is clearly stated.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Agree

2. Revise this section as follows:

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Introduction

1. The background material is relevant and provides a reasonable basis for the manual.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. The information is complete and appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. Revise this section as follows:

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Section 1 - Rationale

1. The title is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. The rationale is clearly and comprehensively stated.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. All other material in Section 1 supports, clarifies, or amplifies the rationale as expressed in the first paragraph.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. Revise this section as follows:

Section 2 - Organization

1. The title is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. The organization of the Division of Program Audit is adequately described.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. Related departmental and divisional organization plans are included where relevant; they are adequately described; and their relationship to the program audit organization is clearly indicated.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. Revise this section as follows:

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Section 3 - Procedures

1. The title is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. The procedures are clearly stated, and the order in which each step should be implemented is easily understood.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. The procedures are adequately detailed so that an individual could, with this section and the audit instruments, conduct an audit.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. Revise this section as follows:

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Section 4 - Preservice of Auditors

1. The title of this section is appropriate.

4	3	2	1
Strongly Agree	Agree	Disgaree	Strongly Disagree

2. All the material is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. The order in which the material is presented is correct.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. Any person wishing to use this section as a guide to planning and conducting a preservice session could easily do so by following the information given in this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

5. Revise this section as follows:

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Section 5 - Audit Exceptions

1. The title is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. All material presented is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. The term "audit exception" is adequately defined.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. The kinds of items which must be checked to gather adequate information to determine an audit exception are included in this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

5. Explanation of the responsibility for reporting audit exceptions and the reporting procedures are given.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

6. Adequate justification for the reporting procedures is included.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

7. Revise this section as follows:

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Section C - Benefits of Audit

1. The title is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. The material in this section is appropriate.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. The relationship of the audit procedure to the improvement of a given program is clearly indicated.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. Revise this section as follows:

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Section 7 - Use of Program Audit for Total Operation

1. The title is appropriate for this section.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. The benefits of program audit are clearly and comprehensively stated.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. All other material in this section supports, clarifies, or amplifies the stated benefits.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. Revise this section as follows:

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Appendix

1. The reasons for including the information in the Appendix are clear.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

2. The introduction to the Appendix is clear.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

3. The items in the audit checklists are clearly stated.

4	3	2	1
Strongly Agree	Agree	Disagree	Strongly Disagree

4. Revise this section as follows:

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PART II

The following questions concern your general reaction to this manual. For each of the questions, please circle the response which best characterizes your reactions.

1. How relevant is the manual to your local needs?

4	3	2	1
Very Relevant	Relevant	Somewhat Relevant	Irrelevant

2. How practical are the procedures and guidelines offered in the manual?

4	3	2	1
Very Practical	Practical	Somewhat Practical	Impractical

3. How readable is the manual?

4	3	2	1
Very Easy to Read	Easy to Read	Difficult to Read	Very Difficult to Read

4. If you have any suggestions about additional material which you feel should be in the manual or any material which should be deleted, please include these in the space provided below or on the back of this sheet.

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Thank you for your valuable assistance. A copy of the manual will be mailed to you upon its completion.

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FIELD TEST

Program Audit Manual

A GUIDE TO PROCEDURES FOR MONITORING EDUCATIONAL PROGRAMS

James G. Moffat
Assistant Superintendent
Department of Government Funded Programs

James F. Redmond
General Superintendent of Schools
Board of Education of the City of Chicago

1974

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PROGRAM AUDIT MANUAL

A Guide To Procedures
For Monitoring
Educational Programs

Board of Education of the City of Chicago

James F. Redmond
General Superintendent of Schools

James G. Moffat
Assistant Superintendent
Government Funded Programs

1974

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Chicago, Illinois

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for Total Operation 20

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PREFACE

The purpose of this manual is to explain the technique for audit procedures used in the Chicago public schools and to share with other school systems and other groups the experience of the Chicago public schools in monitoring educational programs funded by various agencies.

This structured program audit is an onsite examination by trained personnel to ensure project compliance with established goals, objectives, and procedures. The audit is not an analytical evaluation. It is intended to determine if the contract terms are being met and to anticipate problems which may arise.

While the procedures have been designed for use by a large urban school system, they lend themselves, with very little modification, to smaller systems and to all educational programs.

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INTRODUCTION

Accountability is an adjunct to all professional endeavors. Physicians are accountable to their patients, to the hospital, and to the American Medical Association; attorneys are accountable to their clients, to the courts, and to the Bar Association; and educators are ultimately accountable to their students, to parents, and to the community.

When all teachers fully understand the goals and objectives of the subjects they teach; when they are accountable to the community and the principal for the attainment of those goals and objectives; when the principal is accountable to his community, his faculty, and his superior for the quality of teaching which is representative of his school; when the district superintendent is accountable to the community, to the principals, and to the teachers of his district for the quality of his leadership; and when those charged with the responsibility for curricula create programs which reflect the needs of the children, there will be overall improvement in education. Constant monitoring of all elements increases that probability.

The most efficient way to move toward educational accountability is through measurable goals, objectives, and evaluations which are consistent with established guidelines and which are written into educational programs. When these goals, objectives, and evaluation techniques have been stated, accountability may be achieved through monitoring to ensure their proper implementation. Educational programs, especially those funded by agencies outside a school system, must be audited so that accountability of the local educational agency to the funding source may be satisfied.

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In 1971, the Department of Government Funded Programs of the Chicago public schools created the Division of Program Audit, charged with the responsibility for designing a vehicle through which internal, objective monitoring could be accomplished. The vehicle was field tested and changed to agree with suggestions received, and, after revisions had been incorporated, audit procedures became an integral part of program administration. Chicago thus became possibly the first school system in the country to develop systematic procedures which indicate the degree to which individual programs are being implemented according to guidelines and which provide administrators with data for program improvement and accountability.

It is the hope of the Department of Government Funded Programs of the Chicago public schools that this manual will be a practical and useful addition to the canon of accountability and that it will lead, through improved program implementation, to improved educational opportunities for all children.

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RATIONALE

Monitoring of educational programs may be performed by personnel outside the local educational agency. There are commercial enterprises with personnel trained to provide this service, but this is costly to the local educational agency and, in some cases feedback necessary to administrators is not as readily and quickly available as it must be. Funding agencies have always monitored programs to determine their adherence to guidelines, usually, however, after the programs have been in force for some time. Funding can be and is endangered if discrepancies are not corrected by the local educational agency prior to this outside evaluation. The advisability of an internal audit is obvious.

An internal audit is an objective observation, by professional personnel, of the implementation of a program designed to achieve stated educational goals and objectives. Assessment of the quality of instruction observed is not within the purview of the auditor; however, since it is incumbent upon the local educational agency to provide funding sources, such as the federal government, state and municipal governments, and private foundations with data indicating the use to which funds are being put, ongoing monitoring assures management of program activities which are commensurate with the philosophy and guidelines of the funding source. Then, if a program is not successful even though it follows the stipulated design, it becomes the function of evaluation to analyze the design and to determine what factors contributed to the program's failure. Within some school systems, accountability for program management may rest in a department created for the purpose; in others it may be a shared

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responsibility. The organization or management system chosen negates neither the use nor the value of internal program audit.

In the Chicago public schools, programs are monitored to ensure that the number of pupils being served is in accordance with the program description, if aides are involved as specified, if teachers are used appropriately, if supplementary materials and equipment are available and properly used, if test results are being used to plan meaningful learning experiences, and if all pertinent directives are being followed. These components form the basis of the contract entered into by the schools and the funding source, and accountability for their implementation is inherent in the contract.

Although each program contains specific elements aimed toward improvement in educational opportunity for the children served, legislation which governs proposals submitted for funding is fairly consistent under all titles. Auditors are familiar with the following components which are included in all proposals:

1. The comprehensive needs assessment from which priority needs are taken and which, then, becomes the basis for the proposal. This needs assessment is usually conducted under the auspices of a Research and Evaluation component of the local educational agency. Hard and soft data concerning students and community are examined to determine whether current programs are as successful as they might be and what might be added to insure their success.

2. Performance Objectives - These are the goals of the program which flow directly from the priority needs established by the school. They are stated in behavioral terms and must be subject to measurement. The Research and Evaluation component of the local educational agency is usually instrumental in developing these.

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3. Procedures - These are actually the blueprints of the program. The design is specifically stated. The duties of the staff are clearly delineated as are the number of pupils to be served, the length of time they are to be served, and the kinds of materials that will be used.

4. Evaluation - This is the measurement of whether the procedures have attained the stated objectives. A comprehensive evaluation is based on pre- and post-standardized tests, questionnaires, attitude inventories, and classroom observation. It should be ongoing, and in cases where independent program audit is required by a funding agency, it consists of an audit of the evaluation to determine whether the program design is consistently achieving the stated objectives.

5. Dissemination - Information concerning specially funded programs should be widely distributed as should the results of the evaluation. Dissemination can be accomplished through flyers, pamphlets, filmstrips, films, word of mouth, and community activities such as open house.

6. Community Involvement is usually mandated by funding agencies from the inception of the proposal. Parents, teachers, community leaders, and even students should be involved in planning educational programs.

7. Staff Development is an integral part of every proposal. Since most specially funded programs are of a temporary nature, the training of staff in sound but innovative educational techniques is a necessity so that good programs may continue even when special funding ceases.

8. Supplementary Nature of Programs - Special funding is invariably granted to supplement the efforts of local school districts. Every child in a school district is entitled to its services. Therefore, when funds are granted for specific purposes by a funding agency these are, in fact, additional, and the local educational agency is expected to continue all services previously provided.

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ORGANIZATION

Audit procedures established by the Department of Government Funded Programs follow a "line-staff" relationship, explained in the following quotation taken from Facts and Figures, published by the Board of Education of the City of Chicago, 1972-73:

> The administration of the school system is by direct "LINE" from principal, through District Superintendent, through Area Associate Superintendent, to Deputy Superintendent and Superintendent.
>
> At each level there are "STAFF" people who assist the administrator. The principal in the school has staff who assist him with administration, as well as teachers. Each district office has a human relations coordinator; some also have staff assistants for Elementary and Secondary Education Act programs (ESEA), and Model Cities programs. Area Associate Superintendents have an administrative staff of seven or more members including the Area Chief Engineer and Directors of Administration, Area Programs, Curriculum, Human and Community Relations, Pupil Personnel Services, and Special Education and ESEA Programs. Some directors are provided with a staff of assistants or consultants. Assistant and Associate Superintendents head departments at the central office, eight serving on the planning staff under the General Superintendent, and eight serving on the operational staff under the general administrative supervision of the Deputy Superintendent. Assistants to the General and Deputy Superintendents serve respectively as their immediate aides.
>
> At every level, "STAFF" people advise and assist with planning, but "LINE" administrators have direct responsibility for administrative decisions at their operational level. The only aspect of school administration that is outside the "LINE" of authority outlined above is the area of plant operations and maintenance.

The chart on the following page shows the organization of the Chicago public schools.

Organization Chart—Chicago Public Schools

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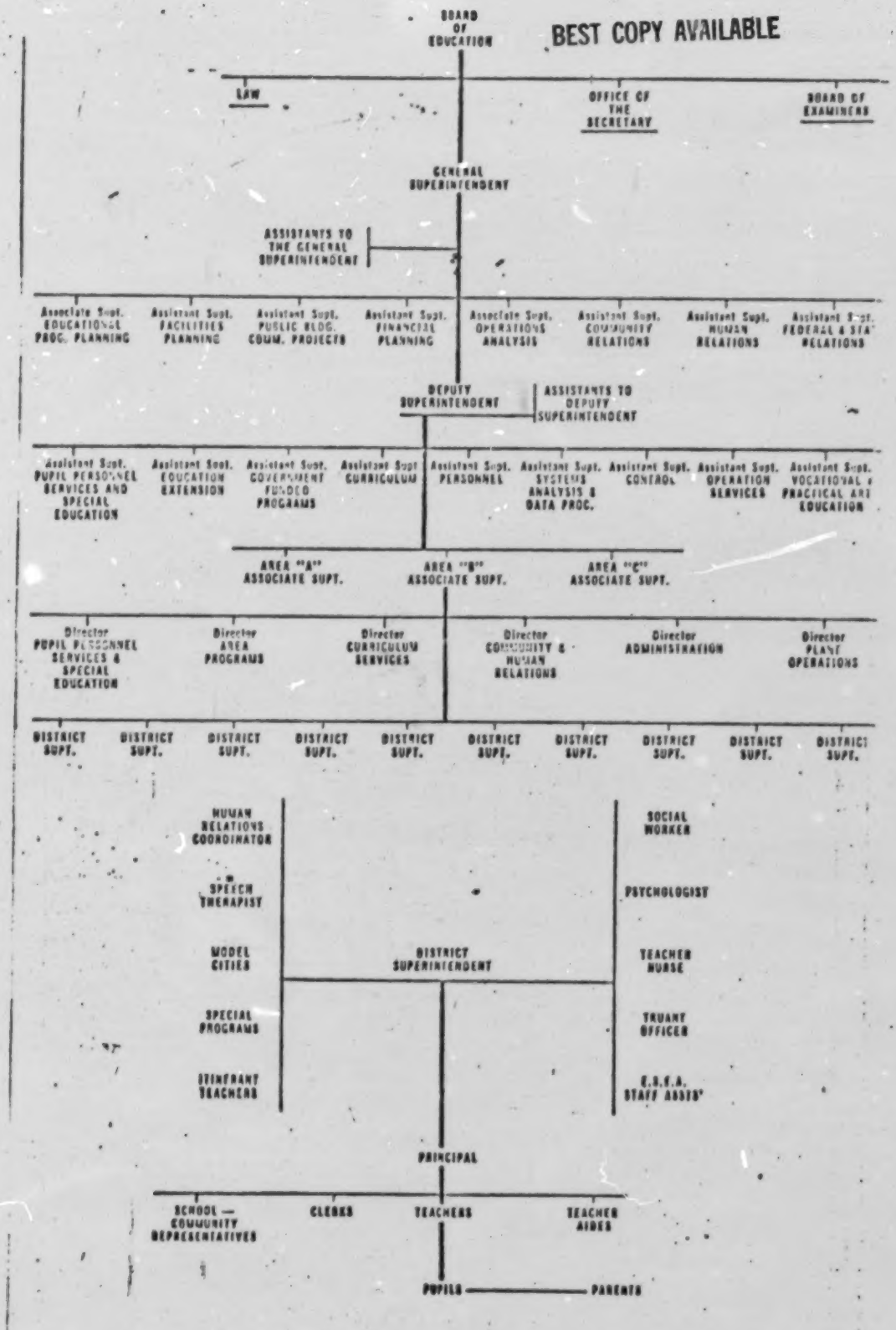

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In accordance with the line-staff organization, accountability for program implementation rests with the principal or unit head. His accountability to his district superintendent and to the program itself is achieved through the following:

Being familiar with the requirements written into the proposal and recognizing them as binding upon the funding agency and those charged with program implementation.

Planning for the various components of the program before the actual date of implementation.

Keeping documents to ensure the success of the program. This includes records of position openings, requisition records, and minutes of advisory council meetings.

Observing the components of the program on a scheduled basis to note exceptions.

Communicating to appropriate personnel those exceptions that do not permit the program to be properly implemented.

Similarly, the Department of Government Funded Programs is accountable to the funding agencies, to the Board of Education of the City of Chicago, and to the schools having funded programs, for which the department provides the following services:

Serves as the contact between all funding agencies and the Chicago public schools

Identifies sources of funding for all proposals developed by school and administrative units

Provides functional leadership and technical assistance to school units in the development of proposals

Provides guidelines to units implementing proposals that have been approved by funding agencies

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Conducts ongoing program audits to ensure that programs approved for funding are implemented in accordance with the proposal as developed, with guidelines of the funding agency, and with policy established by the Board of Education which includes --

developing inservice workshops concerning program audit techniques for both central office and field staff

conducting frequent visits to schools implementing funded programs to ensure contract compliance and to make certain that guidelines are followed

providing appropriate line and staff with the results of program audit visits

performing appropriate follow-up visits to make certain that program audit discrepancies have been corrected

preparing periodic reports for funding agencies and local staff, and describing the manner in which programs have been implemented, as determined by program audit visits.

The department also --

Provides financial management services to ensure that funds are appropriately and efficiently expended in compliance with the proposal as approved, as well as with legislative and funding agency directives

Provides administrative services to ensure timely and appropriate implementation of program by field units

Provides appropriate evaluation services to assess funded programs and to meet funding agency requirements

Works with appropriate staff in the dissemination of research data relevant to funded programs

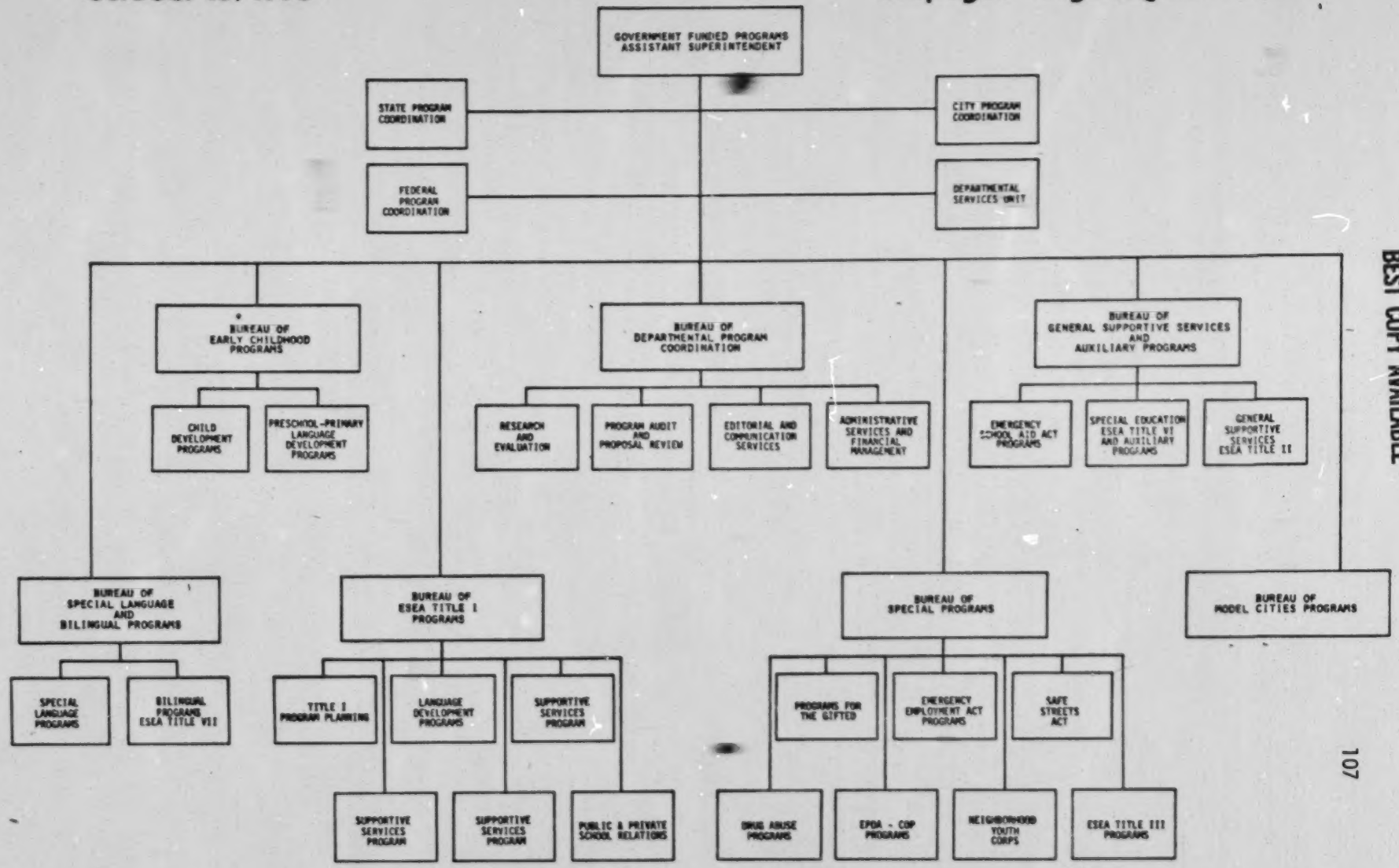
Provides for dissemination of information concerning government-funded programs.

The following chart depicts the organization of the Department of Government Funded Programs.

Department of Government Funded Programs

october 15, 1973

Proposed Organization Chart


GOVERNMENT FUNDED PROGRAMS ASSISTANT SUPERINTENDENT
STATE PROGRAM COORDINATION
CITY PROGRAM COORDINATION
FEDERAL PROGRAM COORDINATION
DEPARTMENTAL SERVICES UNIT
BUREAU OF EARLY CHILDHOOD PROGRAMS
CHILD DEVELOPMENT PROGRAMS
PRESCHOOL-PRIMARY LANGUAGE DEVELOPMENT PROGRAMS
BUREAU OF DEPARTMENTAL PROGRAM COORDINATION
RESEARCH AND EVALUATION
PROGRAM AUDIT AND PROPOSAL REVIEW
EDITORIAL AND COMMUNICATION SERVICES
ADMINISTRATIVE SERVICES AND FINANCIAL MANAGEMENT
BUREAU OF GENERAL SUPPORTIVE SERVICES AND AUXILIARY PROGRAMS
EMERGENCY SCHOOL AID ACT PROGRAMS
SPECIAL EDUCATION ESEA TITLE VI AND AUXILIARY PROGRAMS
GENERAL SUPPORTIVE SERVICES ESEA TITLE II
BUREAU OF SPECIAL LANGUAGE AND BILINGUAL PROGRAMS
SPECIAL LANGUAGE PROGRAMS
BILINGUAL PROGRAMS ESEA TITLE VII
BUREAU OF ESEA TITLE I PROGRAMS
TITLE I PROGRAM PLANNING
LANGUAGE DEVELOPMENT PROGRAMS
SUPPORTIVE SERVICES PROGRAM
SUPPORTIVE SERVICES PROGRAM
SUPPORTIVE SERVICES PROGRAM
PUBLIC & PRIVATE SCHOOL RELATIONS
BUREAU OF SPECIAL PROGRAMS
PROGRAMS FOR THE GIFTED
EMERGENCY EMPLOYMENT ACT PROGRAMS
SAFE STREETS ACT
DRUG ABUSE PROGRAMS
EPDA - CDP PROGRAMS
NEIGHBORHOOD YOUTH CORPS
ESEA TITLE III PROGRAMS
BUREAU OF MODEL CITIES PROGRAMS

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In fulfilling its responsibility to monitor programs, the Department of Government Funded Programs performs two discrete functions. Accountability for ascertaining the degree to which guidelines are being met in operative programs is the mandate of the Division of Program Audit; accountability for data concerning the effectiveness of operative programs is the mandate of the Division of Research and Evaluation. Each division performs its particular function, and both are accountable to the assistant superintendent who is the head of the department.

Each division has general and specific responsibilities. The Division of Program Audit is primarily concerned with ensuring adherence to program design by individual schools; the Division of Research and Evaluation is concerned with program effectiveness and with the identification and examination of all factors not included in the program design as well as those within the design which contribute to program outcomes.

Specifically, the Division of Program Audit is accountable for the following:

Examining the program design and guidelines and verifying compliance.

Identifying operational discrepancies between procedures as described in guidelines and actual operational procedures for activities in the local schools or participating groups and reporting these discrepancies to appropriate line and staff for remediation.

Making verbal or written reports to management for treatment of individual operational problems and discrepancies noted during the course of audit visits.

Acting on recommendations by the Division of Research and Evaluation which relate to operational problems requiring immediate attention.

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The specific responsibilities of the Division of Research and Evaluation are as follows:

Comparing actual program operation (determined by collected data) with the program design and guidelines prepared by program managers.

Determing the degree of adherence of the program to the requirements stipulated in the program design; identifying assets, discrepancies, and any other significant data pertaining to the program. This includes seeking in-depth information to ascertain the nature and causes of the data characteristics in order to determine the influence of these characteristics on program effectiveness. Making judgments on the basis of an analysis of gathered data.

Making periodic reports to local, state, and federal agencies containing implications and recommendations based on data analysis for immediate and long-range decisions concerning specially funded programs.

Where appropriate, including information provided by the Division of Program Audit in evaluation reports and examining audit information to ascertain additional areas requiring detailed evaluation.

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Procedures

The audit procedures established for the Chicago public schools will be described in this section; however, although they are indigenous to Chicago, they may easily be modified or adapted to the needs of other school systems.

All professional staff from the Department of Government Funded Programs serve as auditors in addition to their regular duties -- usually one-half day each week. Staff from other departments such as Curriculum, principals, and field staff also serve as auditors.

Added to the obvious benefits which auditing brings to program implementation, there is another equally important benefit, that of staff development, which accrues to the audit. Personnel conducting audits have the opportunity to keep abreast of innovative educational techniques, and a mutual exchange of ideas leads to strengthening the department and school team effort toward the improvement of educational opportunities for children.

Two of the most important requirements for successful program auditing are objectivity and accuracy in observation and in reporting. Since all professional program personnel and occasionally others in the Department of Government Funded Programs serve on audit teams, the following procedures have been developed to ensure the achievement of both requisites:

> Two folders, one a duplicate, are prepared for each site. A list of ongoing programs at the site, all information pertinent to the programs, and copies of all previous audit reports are kept in folders. Auditors review the information in the folders prior to an audit visit and take one folder on the visit.

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Before an audit visit, auditors are requested to review the activity descriptions which apply to the programs they will observe. These descriptions are prepared by administrators and copies of those relevant to the school are filed in the individual audit folders.

Two persons are usually sent to audit. This allows for a comparison of their observations. Moreover, if someone new to the department is teamed with an experienced auditor, of if a person directly involved with a program and familiar with the guidelines is teamed with a person from an entirely different program, on-site inservice is possible for the less experienced or less knowledgeable auditor.

The same auditors are not sent to the same site for follow-up visits. A verification of the accuracy of previous reports is thereby provided.

Inservice meetings are held to explain the sensitive role of the auditor, the type of information he is seeking, and the method of reporting audit findings.

Audit instruction sheets pertinent to particular audits are prepared and distributed.

Proposals for all programs to be audited and copies of guidelines are kept on file and are available for review in the office of the Division of Program Audit.

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PRESERVICE OF AUDITORS

Because of the line-staff organizational structure in the Chicago public schools, auditors, who are staff personnel, are not empowered to judge the quality of teaching; their function is limited to obtaining information concerning staffing, the number and kinds of children served, the involvement of the community, and the availability and use of materials and equipment prescribed by the proposal. During inservice training sessions this role is emphasized, and it is made clear to the prospective auditors that they are not to pass judgment upon the quality of the teaching in programs they are assigned to audit, since this is the responsibility of line officers (principals, district superintendents, and area associates). After completing the audit questionnaire, auditors return the form to the Division of Program Audit, and it becomes the responsibility of the division to report audit exceptions or discrepancies to the proper administrative personnel.

Before auditors can be selected or plans made for auditing, a bank of information is established to show in which schools programs are operating, and, in the case of schools having several programs, under which source each has been funded. This information bank is the responsibility of the Division of Program Audit, and it is updated as programs are added, dropped, or modified.

Inservice of the Auditors

The training of auditors is the responsibility of the Division of Program Audit. Inservice meetings for prospective auditors are held at the beginning of the school year and during the year as necessary. A

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kit of materials for these meetings has been prepared, containing sample program descriptions and copies of questionnaires. Audit folders are distributed and reviewed at these meetings. A committee has been assigned to study the possibility of computerizing these data.

The necessity for familiarity with the guidelines and the importance of the auditors' attitude are also emphasized during the inservice sessions. Personnel assigned to train auditors explain that their role is one of service and it is important that they approach the schools in a spirit of cooperation in the task of providing the best possible programs for children.

Response and feedback sessions for school personnel at the central office or in the field are also conducted during which the purpose of audit is explained and suggestions for its improvement are solicited.

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TYPES OF AUDIT

Generally, three types of program audit are performed during the school year by the Department of Government Funded Programs. The first is an implementation audit. Its primary objective is the determination of whether the programs in the local schools are properly staffed and have received or ordered the budgeted amount of supplies and equipment, whether the students called for in the guidelines have been selected, and whether instruction has begun. This audit is conducted during the first three weeks of school and is confined to the examination of these elements, all of which may be verified within the school office. It is designed to provide administrators with immediate feedback regarding anything that may deter implementation of the program.

The second audit involves not only the examination of items found in the school office but also observation of all funded classrooms at the site. This audit begins during the fourth week of school. It involves follow-up on discrepancies noted in the first audit and verifies program implementation through actual classroom observation. Individual student records are examined to see if they conform to the selective criteria; classroom attendance and enrollment books are examined to check the number of students served; materials and supplies are checked to determine their appropriateness and availability.

The third audit begins in January as a follow-up at those units where discrepancies had previously been noted. This audit involves the examination of supplies, educational material, and equipment requisitions; documents describing the assignment and payment of staff and program

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implementation through visits to every classroom involved in any phase of government-funded programs.

Special audits are performed to meet special needs. For example, an audit of all health service components of programs, of all mobile instructional laboratories, or of the proper assignment of personnel in a program might be audited during a given week. Although these program components are to be spot-checked at each general audit, a more comprehensive audit of them is sometimes required.

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AUDIT EXCEPTIONS

An audit exception is a discrepancy which exists between the proposal and its implementation. For example, if a teacher is provided for a tutorial program, but his services are not used for that purpose, a violation exists, since most government-funded programs are designed to supplement, rather than supplant, local programs. The following are general directions concerning audit exceptions. They apply to virtually all government-funded programs, and information concerning these should be checked during each audit visit.

Staffing is checked at every visit to see that the information at the central office coincides with that of the school and to determine whether there are any unfilled positions. Conformity of staff use is also checked.

Accounting procedures for professional personnel in government-funded positions are checked. Teachers should be charged to the correct account.

Delivery of supplies and materials and prompt processing and return of invoices and receiving reports are checked during each visit.

Lists of participating pupils and daily programs for both teachers and aides are checked to determine if the number of students is as stipulated and if the staff is used in accordance with the guidelines.

Enrollment and observed attendance are noted.

A spot-check of records of one or two students in each class is made in order to determine whether they are eligible for participation. Requirements for eligibility are listed in the guidelines.

Current equipment inventories are required for all government-funded programs. Equipment must bear labels indicating the funding source. Some programs have

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special decals which are required for purposes of identification. A spot audit of inventories should be ongoing throughout the year.

Equipment purchased for government-funded programs should be readily available to the teachers in the program so that it can be effectively used.

Books and kits purchased for government-funded programs should be stamped with identifying information. Materials purchased for these programs are to be used in the program for which they were purchased and should be in evidence and in use in these programs. ESEA Title II materials should be spot-checked at every school to see that they are properly labeled.

Evidence of the supplementary nature of the program should be checked.

Report of Audit Exceptions

Auditors of government-funded programs complete their report at the conclusion of the audit and submit the report to the coordinator of program audit. It then becomes the coordinator's responsibility to analyze the report to note any discrepancies; check program guidelines thoroughly to verify noted discrepancies as actual discrepancies; prepare a report of these discrepancies; and submit the report to the administrator of the Department of Government Funded Programs who then transmits these data to the appropriate line officer for correction. It is the responsibility of line administrators to correct program discrepancies.

In addition, the report is transmitted to bureau heads within the department and to other appropriate staff so that they may be aware of problems as early as possible and work to improve the services of the central office staff in those aspects of the program which are managerial in nature.

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BENEFITS OF AUDIT

Internal program audits should result in fewer violations of guidelines. A common understanding of and commitment to guidelines should lead to early implementation of programs to serve children. All administrators should work together to ensure program compliance with guidelines and program implementation at the earliest possible data. If, when programs become operative, it is shown that some component of the design is unrealistic or impossible to implement, immediate steps should be taken to remedy the situation. Only through a structured program audit will the mechanism for correcting errors or misjudgments in program design be established.

Several kinds of guidelines exist for funded programs: those issued at the federal level in the legislation authorizing the program; those implicit in state and city officials' interpretations of the acts and their amendments; and those developed at the local level for program implementation. If guidelines are not closely followed by the personnel implementing government-funded programs, no meaningful evaluation is possible, and there is no objective way to determine the success or failure of a program.

In the early days of government funded programs, guidelines were not always immediately available or, if available, their interpretations by state and city officials were often late in coming. Therefore, at the inception of government-funded programs, officials of school systems sometimes implemented programs in accordance with their own interpretation of the proposal. Experience has shown that through audit there is a more common

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interpretation of the intent of the legislation as well as an interpretation of the method in which programs must be implemented to conform to the mandate of the funding agency.

All activities of a school system should result in improved educational benefits for children. Sometimes it is difficult to see a meaningful and positive relationship between the technical aspects of management and the improvement of educational opportunities for the child in the classroom. If that relationship does not exist, however, the activity is invalid.

In program audit, however, a concommitant relationship exists between the function and the children. While value judgments are not within the scope of the auditors, the information gathered through audit leads to improvement in programs for the benefit of the child. Early feedback based on teachers' and principals' comments concerning the effectiveness of the program allows for immediate amendments or total modifications for the next fiscal year through planning sessions in which staff and community are involved. When these results occur, the children benefit.

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USE OF PROGRAM AUDIT FOR TOTAL OPERATION

Accountability is strengthened when internal program auditing is used throughout a school system. The techniques developed by the Department of Government Funded Programs are easily adaptable.

Several steps precede the inauguration of such a program. Establishment of goals and objectives not only of program audit itself, but also of subject areas, is one such step. This can be accomplished by assigning to the task personnel with expertise in the field, by submitting suggestions of this task force to a larger group for recommendations and revisions, and, finally, by disseminating information regarding all elements of the proposed program to school and community affected by its inauguration as each step progresses. Whatever threat is posed by the adoption of a monitoring system may easily be dispelled by open and frank discussions through workshops and inservice meetings and through frequent communications, possibly through bulletins, which reiterate the rationale behind the adoption and the gains to be received by all concerned.

It should be emphasized that accountability can only be achieved through systematic checks and balances and that an ongoing analysis of the various functions of a school system, including that of the administrative function, by staff of the system leads to overall improvement. Since this is a cooperative effort toward total accountability, whatever changes are necessary to accomplish the end can be made quickly, and, since program audit uses the talents of staff who perform this function in addition to their regular duties, costs are reduced to a minimum.

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Finally, if large and small school systems throughout the nation were to adopt a policy of internal program auditing, several educational benefits would accrue to all. Among these benefits are the following:

> In funded programs, school systems and the state would more likely be in accord in the interpretation of guidelines and there would be greater consistency in the implementation of programs.
>
> Where many school systems were finding legislation and resultant guidelines unrealistic more pressure could be brought to bear upon legislators and government officials to make realistic changes.
>
> An exchange of ideas among school systems concerning successful monitoring procedures for all educational programs as well as techniques employed to analyze and improve operations would improve the efficiency of school systems and enhance accountability.
>
> Educational program audit on a national scale could well become a tool through which efficient management of school systems and quality educational programs in every school might evolve so that every child in the United States might meet his full potential.

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APPENDIX

The following program audit questionnaires were designed by staff of the Department of Government Funded Programs.

The first is used for all Title I programs as well as for other funded programs.

The second is typical of questionnaires for programs having additional specifications which are not common to all programs.

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Program Audit Checklist

General Information

School_____ Auditor(s)_____

Activities_____ Date_____

1. STAFFING

a. Does staffing at the school coincide with our staffing information? List any discrepancies.

b. List by activity any unfilled positions.

Professional		Paraprofessional
Activity	Position No.	Activity

c. Are teachers charged to the correct position numbers? Verify four teaching position numbers by asking the teachers in what activity they are working and checking the division openings for these.

2. MATERIALS, SUPPLIES, EQUIPMENT

a. Approximately what percent of the materials and supplies were not delivered as of the audit date?

b. Did the materials for structured reading programs arrive on time? If not, indicate the activities for which they were not delivered.

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c. List materials and numbers of purchase orders over the amount of $100 that have not been delivered as of the audit date. Give the date of the requisition. (Comprehensive audit only)

d. List equipment and the purchase order numbers that have not been delivered as of the audit date. Give the date of the requisition.

e. Please remind the principal that invoices must be returned immediately.

f. Is there an updated inventory of equipment? Spot-check at least four items.

g. For structured programs is the equipment necessary for the operation of the activity functioning and located in its appropriate setting?

3. COMMUNITY INVOLVEMENT

a. Is there a separate advisory council for government-funded programs?

If not, how often are government-funded programs discussed at regular council meetings?

b. When and how frequently does the advisory council meet?

c. How many members are on the council?

d. What percent are parents?

4. INSERVICE

a. What inservice do professional and paraprofessional personnel in government-funded programs receive?

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b. Briefly describe your inservice programs for government-funded personnel.

c. Who conducts the inservice?

5. DISSEMINATION

How is information concerning government-funded programs disseminated? (Have the principal fill out the form prepared by Editorial and Communication Services.)

6. CLASSROOM OBSERVATION

The information pertinent to the following questions is to be filled in on the form provided. Directions concerning use of this form are printed on its reverse side.

a. Check test scores of one or two eligible pupils in each class to determine whether they meet eligibility guidelines.

b. Is staff used in conformity with stipulated guidelines? (If not, note discrepancies.) Check schedules of teachers and paraprofessionals.

d. Is equipment for the program properly labeled? Check for items.

d. Is equipment available for classroom use?

e. Check for conformity and availability of instructional materials with the correct activity. Note this on the form provided.

f. According to the teacher's class list and daily time schedules, how many children are being served daily in each class? Note observed attendance.

g. Are there time conflicts which reduce the time the child participates in the core programs. List them.

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h. Are books properly labeled with the information concerning the funding source and in evidence in the classroom?

i. Are the Title I participants involved in other Title I activities? Indicate this in the column labeled Observed Supportive Services. List the numbers of pupils so involved.

j. Are Title II materials properly labeled and is there an inventory of these? (These are to be in the school library with the teacher librarian)

7. COMMENTS

a. Principal's comments.

b. Auditor's comments. Do the programs appear to be operating within guidelines?

CLASSROOM OBSERVATION

Room No.	Grade	Activity	Daily Enrl.	Class Enrl.	Observed Attend.	Selec. of Pupils		Staff Use	Labeled Equip.	Stamped Books	Approp. Mat'ls	Observed Supportive Services
						#1	#2					

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Title II Library Materials: Stamped? _____ Inventory? _____

Auditors' Comments: _____

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DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Program Audit Checklist

Head Start

School _____ Auditor(s) _____

Activity _____ Date _____

1. List any unfilled positions.

2. Is the staff being utilized according to guidelines?

3. Were two volunteers present?

   Check volunteer schedule and time sheet. Total volunteer time should be 60 hours per week.

4. Check the inservice schedule. Teachers and aides are to have the equivalent of three hours of inservice per month.

5. Is there an updated inventory of equipment? Are items properly labeled?

6. Check nutritional program. Is food served family style in the classroom? Is staff at the tables with the children during the nutrition program? Is staff eating the same food and drinking the same beverage as the children?

7. Check medical - dental services. Have examinations been given? Scheduled?

* 8. Spot check every fifth enrollment form to determine whether the pupil meets the means test. (Copies of the fee schedules and the enrollment form are attached). Indicate any discrepancies below or write "none", if none exist.

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9. Indicate daily class schedule:

AM Starts _____ PM Starts _____

AM Ends _____ PM Ends _____

10. AM Enrollment _____ Observed Attendance _____

PM Enrollment _____ Observed Attendance _____

(*) No pupils are to be enrolled if the family income requires a fee.

9/7/73
DJ:ap

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Head Start Fee Schedule, Monthly Charge

annual income	Number of children in family							
	1	2	3	4	5	6	7	8
0-$4,320	0	0						
21-4,575	X	X						
76-4,900	$2.50	$2.50	0					
01-5,225	5.00	5.00	X					
26-5,550	7.50	7.50	$2.50	0				
51-5,875	10.00	10.00	5.00	X				
76-6,200	12.50	12.50	7.50	$2.50	0			
01-6,525	15.00	15.00	10.00	5.00	X			
26-6,850	19.00	19.00	12.50	7.50	$2.50	0		
51-7,175	23.00	23.00	15.00	10.00	5.00	X		
76-7,500	27.00	27.00	19.00	12.50	7.50	$2.50	0	
01-7,825	31.00	31.00	23.00	15.00	10.00	5.00	X	
26-8,150	41.00	41.00	27.00	19.00	12.50	7.50	$2.50	0
51-8,475	51.00	51.00	31.00	23.00	15.00	10.00	5.00	X
76-8,800	61.00	61.00	41.00	27.00	19.00	12.50	7.50	$2.50
01-9,125	71.00	71.00	51.00	31.00	23.00	15.00	10.00	5.00
26-9,459	87.00	87.00	61.00	41.00	27.00	19.00	12.50	7.50
51-9,775	103.00	103.00	71.00	51.00	31.00	23.00	15.00	10.00
76-10,100	119.00	119.00	87.00	61.00	41.00	27.00	19.00	12.50
01-10,425	135.00	135.00	103.00	71.00	51.00	31.00	23.00	15.00
26-10,750			119.00	87.00	61.00	41.00	27.00	19.00
51-11,075			135.00	103.00	71.00	51.00	31.00	23.00
76-11,400				119.00	87.00	61.00	41.00	27.00
-11,725				135.00	103.00	71.00	51.00	31.00
26-12,050					119.00	87.00	61.00	41.00
51-12,375					135.00	103.00	71.00	51.00
76-12,700						119.00	87.00	61.00
01-13,025						135.00	103.00	71.00
26-13,350							119.00	87.00
51-13,675							135.00	103.00
76-14,000								119.00
01-14,325								135.00

atutory maximum allowable fee charge is marginal. No fee will be assessed.

--To allow for higher costs of living in Alaska and Hawaii, multiply family me by 0.8 and 0.87, respectively, and correlate the lowered income figure with fee. This variation complies with the statutory language mandating that the schedule must be based upon the ability of thefamily to pay. A family with more children enrolled shall pay one full fee for the first 2 children, and ercent of that full fee for each additional child. The above fee schedule ies to both farm and nonfarm families. A family whose ability to pay has impaired because of unusual medical and dental expenses or unusual casualty heft loss(es) shall be eligible for a reduction on fee charge if the amount nusual expenses exceeds 10 percent of the annual gross family income.

.8,86 Stat. 690 (42 U.S.C. 2809 (a) (1)); sec.602 (n), 78 Stat. 530 (42 U.S.C. n)); Delegation of Authorities to Secretary of Health, Education, and are, 34 FR 11398)

ctive date.--The regulations in this section shall be effective April 16, 1973. d April 11, 1973.

Caspar W. Weinberger, Secretary

MODEL CITIES - CHICAGO COMMITTEE ON URBAN OPPORTUNITY

CHILDREN'S SERVICES DIVISION
ENROLLMENT FORM

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PROGRAM:
HEAD START-Half Day
HEAD START-Full Day
TITLE IV-A-Full Day
TITLE IV-A-Before/After School
TITLE IV-A-Infant Care

1. AGENCY BOARD OF EDUCATION

2. SITE

3. SITE ADDRESS

CHILD'S NAME

5. BIRTHDATE

6. SEX

7. ETHNIC ORIGIN
☐ Black ☐ Puerto Rican
☐ White ☐ Mex. American
☐ Oriental ☐ Other Latin
☐ American Indian

HAS CHILD PREVIOUSLY ATTENDED A HEADSTART or DAY CARE PROGRAM ? ☐ YES If yes, Location: _____
☐ NO When: _____

PARENT/GUARDIAN NAME

10. HOME ADDRESS ZIP

11. HOME PHONE

CHILD LIVES WITH:
Both Mother & Father
Mother
Father
Guardian

13. HEAD OF HOUSEHOLD
☐ Father
☐ Mother
☐ Guardian
☐ Other

14. FAMILY INCOME
TOTAL ANNUAL INCOME _____ Number in Household _____

15. SOURCE(S) OF INCOME:
☐ Private Employment ☐ Social Security
☐ Government Employment ☐ Other Benefits
☐ Public Assistance ☐ Other _____

HOUSEHOLD MEMBERS:

	NAME	BIRTHDATE	HIGHEST GRADE COMPLETED	EMPLOYED Yes	EMPLOYED No
ther					
ther					
ildren					
ERS					

17. SLIDING FEE SCALE
☐ Yes ☐ No

If "Yes", Amount Paid Monthly $ _____

I declare that the above statements are true and complete.

_____ DATE: _____

-1383

PROGRAM AUDIT
GOVERNMENT FUNDED PROGRAMS SUMMER READING CENTERS

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Area _____ District _____ DATE _____

SCHOOL _____ OBSERVER _____

PROGRAM _____ ACTIVITY _____

Items in the following checklist indicate whether the operation of the program is in conformance with the propusal and federal and state guidelines. This report will serve to identify any misinterpretations or deviations which may lead to an audit exception.

	YES	NO
I. Staff		
A. Allocated positions filled		
1. Professional		
2. Paraprofessional		
II. Pupils		
A. Eligible for participation		
B. Grade level as specified		
C. Number as specified		
D. Nonpublic pupil participation		
III. Program		
A. Organization of classes		
1. Small group		
2. Individualized		
3. Grouped and regrouped for instruction		
B. Materials and equipment		
1. Ordered		
2. In use		
3. Supplementary		
4. Relevant		
C. Instruction		
1. Planned in terms of goal attainment		
2. Directed to meet special needs and interests		
3. Provides opportunity for frequent pupil/teacher interaction		

	YES	NO
4. Appropriate and varied utilization		
a. Approaches		
b. Materials		
c. Equipment		
D. Evaluation		
1. Standard tests of achievement admin.		
2. Attitudes and behavior scales administered		
3. Status of ongoing evaluation		
a. Type		
b. Frequency		
c. Quality		
IV. Atmosphere		
A. Orderly and attractive		
B. Functional room arrangement adaptable to pupils' needs and interests		
C. Interest centers		
1. Appropriate for age and grade level		
2. Utilized effectively		
3. Providing stimulating experiences and materials		
D. Displays		
1. Meaningful		
2. Current		
3. Functional		
4. Attractive		
V. Supportive Services		
A. Participation		
1. Cluster Closed-Circuit Television		
2. Outdoor Education and Camping		
3. Field Experiences		
4. Health Services		
5. Inservice on Wheels		
6. School-Community Identification		

	YES	NO
VI. Inservice Program		
A. Regularly scheduled		
1. Local		
2. District		
3. Area		
B. Provided by		
1. School administration		
2. Staff assistants		
3. Other (Specify)		
C. Provides for joint participation of professionals and paraprofessionals		
D. Type		
1. Lecture		
2. Demonstration		
a. Group meetings		
b. Classroom		
E. Objectives		
1. Appropriate		
2. Realistic		
3. Well-defined		
F. Effective in achieving objectives (evaluation of local administration)		
VII. Parental and Community Involvement		
A. Advisory Councils		
1. Established		
2. Conformity with formula		
a. Percentage of parents		
b. Community leaders		

	YES	NO
3. Regular scheduled meetings		
a. Weekly		
b. Bi-monthly		
c. Monthly		
4. Activities		
a. Discussions		
b. Guest speakers		
c. Demonstrations		
d. Classroom visitations		
B. Involvement 1. Assessment of needs		
2. Determination of priorities		
3. Evaluation of exsting programs		
4. Planning and evaluation new programs		
C. Sign off sheets		
VIII. Dissemination of Information		
A. Type		
B. Distribution		

General Comments _____

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Audit Information Sheet
First Visit 1971-72

School _____ Auditor _____

Activity _____ Date _____

1. Does the staffing at the school coincide with our staffing information? List any discrepencies by activity.

2. List any unfilled positions by activity:

Professional Position Number	Activity	Paraprofessional Activity

3. What was the actual attendance in each class at the time you visited?

Room No.	Observed Attendance

4. According the the teacher's class list and daily time schedule, how many children are being served daily in each class?

Room No.	Daily Membership

5. Was staff utilized in conformity to with stipulated guidelines. If not, note the discrepencies.

6. Was there an updated inventory of equipment? Was it properly labeled? Was it in a place accessible to the program?

7. Was there an updated inventory of textbooks, kits, etc.? Were they stamped with identifying information?

8. Was the staff being utilized for recess, lunch, or office duty?

9. Are invoices being processed and returned to us promptly?

10. Principal's comments or suggestions.

11. Auditor's comments or suggestions.

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Program Audit - Summer Reading Centers

Area _____ District _____ Date _____

School _____ Observer _____

Program _____ Activity _____

Items in the following checklist indicate whether the operation of the program is in conformance with the proposal and federal and state guidelines. This report will serve to identify any misinterpretations or deviations which may lead to an audit exception.

	YES	NO	COMMENT
I. Staff			
A. Allocated positions filled			
1. Professional			
2. Paraprofessional			
B. Proper staff utilization			
II. Pupils			
A. Eligible for participation			
B. Grade Level as specified			
C. Number as specified			
D. Nonpublic pupil participation			
III. Program			
A. Organization of classes			
1. Small Group			
2. Individualized			
3. Grouped and regrouped for instruction			
B. Materials and equipment			
1. Ordered			
2. In use			
3. Supplementary			
4. Relevant			

	YES	NO	COMMENT
C. Instruction			
1. Planned in terms of goal attainment			
2. Directed to meet special needs and interests			
3. Provides opportunity for frequent pupil/teacher interaction			
4. Appropriate and varied utilization			
a. Approaches			
b. Materials			
c. Equipment			
D. Evaluation			
1. Standard tests of achievement administered			
2. Attitudes and behavior scales administered			
3. Status of ongoing evaluation			
a. Type			
b. Frequency			
c. Quality			
IV. Atmosphere			
A. Orderly and attractive			
B. Functional room arrangement adaptable to pupils' needs and interests			
C. Interst centers			
1. Appropriate for age and grade level			
2. Utilized effectively			
3. Providing stimulating experiences and materials			
D. Displays			
1. Meaningful			
2. Current			
3. Functional			
4. Attractive			

	YES	NO	COMMENT
V. Supportive Services			
A. Participation			
1. Cluster Closed-Circuit Television			
2. Outdoor Education and Camping			
3. Field Experiences			
4. Health Services			
5. Inservice on Wheels			
6. School-Community Identification			
VI. Inservice Program			
A. Regulary scheduled			
1. Local			
2. District			
3. Area			
B. Provided by			
1. School administration			
2. Staff assistants			
3. Other (Specify)			
C. Provides for joint participation of professionals and			
D. Type			
1. Lecture			
2. Demonstration			
a. Group meetings			
b. Classroom			
E. Objectives			
1. Appropriate			
2. Realistic			
3. Well-defined			
F. Effective in achieving objectives (evaluation of local administration)			

	YES	NO	COMMENT
VII. Parental and Community Involvement			
A. Advisory Councils			
1. Established			
2. Conformity with formula			
a. Percentage of parents			
b. Community leaders			
3. Regular scheduled meetings			
a. Weekly			
b. Bi-monthly			
c. Monthly			
4. Activities			
a. Discussions			
b. Guest speakers			
c. Demonstrations			
d. Classroom visitations			
B. Involvement			
1. Assessment of needs			
2. Determination of priorities			
3. Evaluation of existing programs			
4. Planning and evaluating new programs			
C. Sign-off sheets			
VIII Dissemination of Information			
A. Type			
B. Distribution			

General Comments: _____

APPENDIX #5

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Program Audit Checklist

General Information

ESEA Title I

School_____ Auditor(s)_____

Activity_____ Date_____

1. a. Does staffing at the school coincide with our staffing information? List any discrepancies.

   b. List by activity any unfilled positions.

Professional Position Number & Activity	Paraprofessional Activity

   c. Are teachers charged to the correct position number?

2. a. Approximately what percent of the materials and supplies were not delivered as of the audit date?

   b. List materials and purchase order numbers over the amount of $100 that have not been delivered as of the audit date. Give the date of the requisition.

2. c. List equipment and purchase order numbers that have not been delivered as of the audit date. Give the date of the requisition.

d. Are invoices or packing slips being processed and returned to the Division of Administrative Services promptly?

3. Is there an updated inventory of equipment?

4. a. What is the extent of community involvement in the program?

b. Is there a separate advisory council? If not, how often are government-funded programs discussed at regular council meetings?

c. When and how often are council meetings held?

d. How many members are on the council?

e. What percent are parents?

5. a. What inservice do professional and paraprofessional personnel in government-funded programs receive?

   b. Who provides the inservice?

6. How is information concerning programs disseminated?

7. According to the teachers' class lists and daily time schedules, how many children are being served daily in each class? Note observed attendance.

Activity	Grade/Room Number	Enrollment	Observed Attendance

8. Check test scores of one or two pupils in each class to determine whether they meet eligibility guidelines.

9. Is staff used in conformity with stipulated guidelines? If not, note discrepancies. Check schedules of teachers and paraprofessionals.

10. a. Is equipment for the program properly labeled?

    b. Is equipment available for classroom use?

11. Are books stamped with identifying information and in evidence in the classrooms?

12. Are Title II library materials properly labeled, and is there an inventory of these?

13. Comment on supportive services you observed.

14. Principal's comments.

15. Auditors' comments.

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Audit Information Sheet

Model Cities

School_____ Auditor_____

Activity_____ Date_____

1. Does staffing at the school coincide with our staffing information? List any discrepancies by activity.

2. List any unfilled positions by activity.

Professional Position Number	Activity	Paraprofessional Activity

3. a. Have orders for supplies, materials, and equipment been submitted?

   b. List materials which have not been received within two months of the date of the order.

4. Are invoices being processed and returned to us promptly?

5. a. Do paraprofessionals live in the target area?

   b. How is this determined?

6. a. Was there an updated inventory of equipment?

   b. Was equipment properly labeled?

   c. Was equipment readily available for classroom use?

7. Were books stamped with identifying information?

8. Are instructional aides attending college classes regularly?

9. Are teacher aides being utilized according to guidelines? If not, note discrepancies.

10. Are instructional team leaders being utilized according to guidelines?

11. Describe the activities of the medical and dental components. If they are currently at the school observe teams in action. How many children were served daily? Have examinations been given? Scheduled?

12. a. According to the teacher's class list and daily time schedule, how many children are being served daily in the schome?

    b. How were the children selected?

13. Describe the activities of the parent component in the schome.

14. Principal's comments.

15. Auditor's comments.

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Audit Information Sheet

Model Cities

School_____ Auditor_____

Free Breakfast
Inservice_____ Date_____

1. Is there an updated inventory of non-expendable property?

2. Are the proper decals affixed to Model Cities property?

3. Have the inservice plans been formulated? Check the schedule.

MODEL CITIES PROGRAM
AUDIT INFORMATION SHEET

School_____ Auditor(s)_____

Activity_____ Date_____

1. What time did the Food Handlers report to work?

2. How many Food Handlers are employed?

3. How many Lunchroom Porters are employed?

4. Are you over staffed, under staffed or neither? Comments.

5. Describe what the Food Handlers and/or Porters were actually doing at the time of your visit.

6. Is a weekly manpower report called in to the District Office each Friday?

7. What is the average number of children served daily?

8. What was the actual number of children participating at the time you visited?

9. What was the menu at the time of your visit?

School_____

Activity_____

10. What was the amount of throw-away (food).

11. Is there an updated inventory of non-expendable property?

12. Are the proper decals affixed to Model Cities property?

13. Is the Breakfast Program suspended for teacher in-service training? If so, how often?

14. Have the inservice plans been formulated? Check the schedule.

15. Has the school ordered any consumable supplies for the Breakfast Program under Model Cities?

16. Has the school established a regular procedure for parents meeting the income eligibility requirement to make affidavit for free meal services at the same time children are being enrolled?

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Audit Information Sheet

Gifted Program

School_____ Auditors_____

Activity_____ Date_____

Starting Date of Program_____ No. of Students by Grade_____

1. Does the program present an offering in place of rather than in addition to the student's regular program? Yes___ No___

2. Are children placed out of certain aspects of the regular program as a consequence of gifted program participation? Yes___ No___

3. Is a multiple identification and selection criteria being used in the program? Yes___ No___

4. Do identification and selection factors include objective data? Yes___ No___

5. Do the identification and selection practices meet the minimum criteria stated in the original proposal? Yes___ No___

6. Does the number of students in the program approximate the number of students stated in the original proposal? Yes___ No___

7. Are the students involved in the program at least 150 minutes per week? Yes___ No___

8. Do the activities in the program take place during the regular school year? Yes___ No___

9. Does student participation in the program activities seem generally to be high? Yes___ No___

10. Are materials and services being purchased necessary to the activities which comprise the program? Yes___ No___

11. Does the teacher in the program have access to all materials purchased specifically for the program? Yes____ No____

12. Are program funds being utilized mainly for program development rather than program maintenance? Yes____ No____

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Audit Information Sheet

ESEA TITLE I - Focus Area Schools

School _____ Auditor _____

Activity _____ Date _____

1. Does staffing at the school coincide with our staff information?

   List any discrepancies by activity.

2. List any unfilled positions by activity.

   Professional

Position No.	Activity
_____	_____
_____	_____
_____	_____

   Paraprofessional

Title	Activity
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

3. Has all testing been completed and have the tests been returned?

4. Has a list of identified Title I pupils participating in the various programs been submitted to Research and Evaluation?
Due date was October 29.

5. a. Have orders for supplies, materials, and equipment been submitted?

b. List materials which have not been received within two months of the date of the order.

6. Are invoices being processed and returned to us promptly?

7. What was the actual attendance in each class at the time you visited?

Activity	Grade/Room No.	Observed Attendance
_____	_____	_____
_____	_____	_____
_____	_____	_____

8. According to the teacher's class list and daily time schedule, how many children are being served daily in each class?

Activity	Grade/Room No.	Observed Attendance
_____	_____	_____
_____	_____	_____
_____	_____	_____

9. Check test scores of one or two pupils in each class to determine whether they meet eligibility guidelines.

10. Was staff utilized in conformity with stipulated guidelines? If not, note discrepancies.

11. a. Was there an updated inventory of equipment?

b. Was the equipment properly labeled? (If there is no inventory tell the prinicpal that printouts and instructions for an inventory will be made available after January 1972.)

c. Was equipment readily available for classroom use?

12. Were books stamped with identifying information and utilized by the Title I teacher?

13. Was the staff being utilized for recess, lunch, or office duty more often than other teachers and aides? Check daily programs.

14. Principal's comments or suggestions.

15. Auditor's comments or suggestions.

16. a. Please comment on supportive services that you observed on the day of the audit.

b. Are books for Horizons Ahead being used in the program and are they properly labeled?

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

EEA Programs Audit Information Sheet

School_____ Auditor_____

Date _____

1. Does the staffing at the school coincide with our staffing information? List any discrepencies.

2. List any unfilled positions:

_____

_____

_____

_____

3. Was staff utilized in conformity with stipulated guidelines? If not, note the discrepencies.

4. Was the staff being utilized for recess, lunch, or office duty?

5. Has there been any counseling of the participants?

6. Have any interviews been scheduled for the participants?

7. Principal's comments or suggestions.

8. Auditor's comments or suggestions.

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Follow Through Programs Audit Checklist

School_____ Auditor_____

Activity _____ Date_____

1. List any unfilled positions.

_____

_____

_____

_____

2. Is the staff being utilized according to guidelines?

3. Were volunteers present?

Check volunteer schedule and time sheet. Total volunteer time should be 60 hours per week.

4. Check the inservice schedule. Teachers and aides are to have the equivalent of three hours of inservice per month.

5. If there an updated inventory of equipment? Are items properly labeled?

6. Check medical - dental services. Have examinations been given? Scheduled?

7. Indicate daily class schedule for Kg:

AM Starts _____ PM Starts _____

AM Ends _____ PM Ends _____

8. Indicate daily schedule for primary grades.

9. How often does Parent Advisory Council (PAC) meet?

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

EPDA Programs Audit Form

School _____ Auditor _____

Date _____

1. Was the weekly schedule checked?

2. Are there unfilled positions? How many?

3. Are the participants carrying a sufficient class load?

4. What was the attendance level at the classes?

5. Were 75% of the participants Model Cities area residents?

6. Were there 25% spanish-speaking residents participating?

APPENDIX #6

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Program Audit Checklist
General Information

School_____ Auditor(s)_____

Activities_____ Date_____

1. STAFFING

a. Does staffing at the school coincide with our staffing information? List any discrepancies.

b. List by activity any unfilled positions.

Professional		Paraprofessional
Activity	Position No.	Activity

c. Are teachers charged to the correct position numbers? Verify four teaching position numbers by asking the teachers in what activity they are working and checking the division openings for these.

2. MATERIALS, SUPPLIES, EQUIPMENT

a. Approximately what percent of the materials and supplies were not delivered as of the audit date?

b. Did the materials for structured reading programs arrive on time? If not, indicate the activities for which they were not delivered.

c. List materials and numbers of purchase order over the amount of $100 that have not been delivered as of the audit date. Give the date of the requisition. (Comprehensive audit only.)

d. List equipment and the purchase order numbers that have not been delivered as of the audit date. Give the date of the requisition.

e. Please remind the principal that invoices must be returned immediately.

f. Is there an updated inventory of equipment? Spot-check at least four items.

g. For structured programs, is the equipment necessary for the operation of the activity functioning and located in its appropriate setting?

3. COMMUNITY INVOLVEMENT

a. Is there a separate advisory council for government-funded programs? If not, how often are government-funded programs discussed at regular council meetings?

b. When and how frequently does the advisory council meet?

c. How many members are on the council?

d. What percent are parents?

4. INSERVICE

a. What inservice do professional and paraprofessional personnel in government-funded programs receive?

b. Briefly describe your inservice programs for government-funded personnel.

c. Who conducts the inservice?

5. DISSEMINATION

How is information concerning government-funded programs disseminated? (Have the principal fill out the form prepared by Editorial and Communication Services.)

6. CLASSROOM OBSERVATION

The information pertinent to the following questions is to be filled in on the form provided. Directions concerning use of this form are printed on its reverse side.

a. Check test scores of one or two eligible pupils in each class to determine whether they meet eligibility guidelines.

b. Is staff used in conformity with stipulated guidelines? (If not, note discrepancies.) Check schedules of teachers and paraprofessionals.

c. Is equipment for the program properly labeled? Check for items.

d. Is equipment available for classroom use?

e. Check for conformity and availability of instructional materials with the correct activity. Note this on the form provided.

f. According to the teacher's class list and daily time schedules, how many children are being served daily in each class? Note observed attendance.

g. Are there time conflicts which reduce the time the child participates in the core programs. List them.

h. Are books properly labeled with the information concerning the funding source and in evidence in the classroom?

i. Are the Title I participants involved in other Title I activities? Indicate this in the column labeled Observed Supportive Services. List the numbers of pupils so involved.

j. Are Title II mateirals properly labeled and is there an inventory of these? (These are to be in the school library with the teacher librarian.)

7. COMMENTS

a. Principal's comments.

b. Auditor's comments. Do the programs appear to be operating within guidelines?

AUDITOR'S INSTRUCTIONS

Classroom Observation

Columns 1 through 6	- Record the room number, grade, activity, daily enrollment, class enrollment, and observed attendance for each room with a government-funded program.
Selection of Pupils	- Check the test scores of one or two pupils in each class to determine whether they meet eligibility guidelines. Use "Yes" or "No" in column. Explain discrepancies under "auditor's comments."
Staff Use	- Note any discrepancies observed in the use of staff using "C" for conformity and "N" for non-conformity. Explain discrepancies under "auditor's comments."
Labeled Equipment	- Is equipment properly labeled?
Stamped Books	- Are the books stamped with identifying information?
Appropriate Materials	- Are Title I materials available in the Title I class? If programs are structured are the designated materials being used? Use "Yes" or "No" in the column. Explain discrepancies under "auditor's comments."
Observed Supportive Services	- Comment on supportive services observed.
Title II Library Materials	- Are Title II library materials properly labeled, and is there an inventory of these? (These are to be checked in the school library with the teacher-librarian.)

9/6/73
DJ/JF/p

CLASSROOM OBSERVATION

Room No.	Grade	Activity	Daily Enrl.	Class Enrl.	Observed Attend.	Selec. of Pupils #1	Selec. of Pupils #2	Staff Use	Labeled Equip.	Stamped Books	Approp. Mat'ls	Observed Supportive Services

Title II Library Materials: Stamped? _____ Inventory? _____

Auditor's Comments: _____

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Program Audit Checklist
Head Start

School _____ Auditor(s) _____

Activity _____ Date _____

1. List any unvilled positions.

2. Is the staff being utilized according to guidelines?

3. Were two volunteers present?

   Check volunteer schedule and time sheet. Total volunteer time should be 60 hours per week.

4. Check the inservice schedule. Teachers and aides are to have the equivalent of three hours of inservice per month.

5. Is there an updated inventory of equipment? Are items properly labeled?

6. Check nutritional program. Is food served family style in the classroom? Is staff at the tables with the children during the nutrition program? Is staff eating the same food and drinking the same beverage as the children?

7. Check medical - dental services. Have examinations been given? Scheduled?

8. Spot check every fifth enrollment form to determine whether the pupil meets the means test. (Copies of the fee schedules and the enrollment form are attached.) Indicate any discrepancies below or write "none," if none exist.

9. Indicate daily class schedule:

   AM Starts _____ PM Starts _____

   AM Ends _____ PM Ends _____

(*8. No pupils are to be enrolled if the family income requires a fee.)

9/7/73
DJ:ap

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Gross annual family income	Number of Children in Family							
	1	2	3	4	5	6	7	8
0- 4,320	0	0	---	---	---	---	---	---
4,321- 4,575	X	X	---	---	---	---	---	---
4,576- 4,900	2.50	2.50	0	---	---	---	---	---
4,901- 5,225	5.00	5.00	X	---	---	---	---	---
5,226- 5,550	7.50	7.50	2.50	0	---	---	---	---
5,551- 5,875	10.00	10.00	5.00	X	---	---	---	---
5,876- 6,200	12.50	12.50	7.50	2.50	0	---	---	---
6,201- 6,525	15.00	15.00	10.00	5.00	X	---	---	---
6,526- 6,850	19.00	19.00	12.50	7.00	2.50	0	---	---
6,851- 7,175	23.00	23.00	15.00	10.00	5.00	X	---	---
7,176- 7,500	27.00	27.00	19.00	12.50	7.50	2.50	0	---
7,501- 7,825	31.00	31.00	23.00	15.00	10.00	5.00	X	---
7,826- 8,150	41.00	41.00	27.00	19.00	12.50	7.50	2.50	0
8,151- 8,475	51.00	51.00	31.00	23.00	15.00	10.00	5.00	X
8,476- 8,800	61.00	61.00	41.00	27.00	19.00	12.50	7.50	2.50
8,801- 9,125	71.00	71.00	51.00	31.00	23.00	15.00	10.00	5.00
9,126- 9,459	87.00	87.00	61.00	41.00	27.00	19.00	12.50	7.50
9,460- 9,775	103.00	103.00	71.00	51.00	31.00	23.00	15.00	10.00
9,776-10,000	119.00	119.00	87.00	61.00	41.00	27.00	19.00	12.50
0,101-10,425	135.00	135.00	103.00	71.00	51.00	31.00	23.00	15.00
0,426-10,750	---	---	119.00	87.00	61.00	41.00	27.00	19.00
0,751-11.075	---	---	135.00	103.00	71.00	51.00	31.00	23.00
1,076-11,400	---	---	---	119.00	87.00	61.00	41.00	27.00
1,401-11,725	---	---	---	135.00	103.00	71.00	51.00	31.00
,726-12,050	---	---	---	---	119.00	87.00	61.00	41.00
2,051-12,375	---	---	---	---	135.00	103.00	71.00	51.00
2,376-12,700	---	---	---	---	---	119.00	87.00	61.00
2,701-13,025	---	---	---	---	---	135.00	103.00	71.00
3,026-13,350	---	---	---	---	---	---	119.00	87.00
3,351-13,675	---	---	---	---	---	---	135.00	103.00
3,676-14.000	---	---	---	---	---	---	---	119.00
4,001-14,325	---	---	---	---	---	---	---	135.00

- Statutory maximum allowable fee charge is marginal. No fee will be assessed.

OTE--To allow for higher costs of living in Alaska and Hawaii, multiply family income by 8 to 0.87, respectively, and correlate the lowered income figure with the fee. This riation complies with the statutory language mandating that the fee schedule must be sed upon the ability of the family to pay. A family with 2 or more children enrolled all pay one full fee for the first 2 children, and 25 percent of that full fee for each ditional child. The above fee schedule applies to both farm and nonfarm families. A mily whose ability to pay has been impaired because of unusual medical and dental penses or unusual casualty or theft loss(es) shall be eligible for a reduction on fee harge if the amount of unusual expenses exceeds 10 percent of the annual gross family come.

ec.8,86 Stat. 690 (42 U.S.C. 2809 (a) (1)); Sec.602 (n), 78 Stat.530 (42 U.S.C. 2942 (n)); legation of Authorities to Secretary of Health, Education, and Welfare, 34 FR 11398)

fective date--The regulations in this section shall be effective April 16, 1973.
ted April 11, 1973 Caspar W. Weinberger, Secretary

MODEL CITIES - CHICAGO COMMITTEE ON URBAN OPPORTUNITY

CHILDREN'S SERVICES DIVISION

ENROLLMENT FORM

175

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PROGRAM:
- ☐ HEAD START-Half Day
- ☐ HEAD START-Full Day
- ☐ TITLE IV-A-Full Day
- ☐ TITLE IV-A-Before/After School
- ☐ TITLE IV-A-Infant Care

1. AGENCY: BOARD OF EDUCATION

2. SITE

3. SITE ADDRESS

4. CHILD'S NAME | 5. BIRTHDATE | 6. SEX

7. ETHNIC ORIGIN
- ☐ Black
- ☐ White
- ☐ Oriental
- ☐ American Indian
- ☐ Puerto Rican
- ☐ Mex. American
- ☐ Other Latin

8. HAS CHILD PREVIOUSLY ATTENDED A HEADSTART or DAY CARE PROGRAM ?
- ☐ YES If yes, Location: _____
- ☐ NO When: _____

9. PARENT/GUARDIAN NAME | 10. HOME ADDRESS ZIP | 11. HOME PHONE

12. CHILD LIVES WITH:
- ☐ Both Mother & Father
- ☐ Mother
- ☐ Father
- ☐ Guardian

13. HEAD OF HOUSEHOLD
- ☐ Father
- ☐ Mother
- ☐ Guardian
- ☐ Other

14. FAMILY INCOME
TOTAL ANNUAL INCOME _____ Number in Household _____

15. SOURCE(S) OF INCOME:
- ☐ Private Employment
- ☐ Government Employment
- ☐ Public Assistance
- ☐ Social Security
- ☐ Other Benefits
- ☐ Other _____

16. HOUSEHOLD MEMBERS:

	NAME	BIRTHDATE	HIGHEST GRADE COMPLETED	EMPLOYED Yes	EMPLOYED No
Mother					
Father					
Children					
OTHERS					

17. SLIDING FEE SCALE
- ☐ Yes ☐ No

If "Yes", Amount Paid Monthly $ _____

I declare that the above statements are true and complete.

SIGNED: _____ DATE: _____

C/CCUO-1383

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

Audit Information Sheet
Bilingual - Bicultural Programs

School _____ Auditor(s) _____

Activity _____ Date _____

1. Are there any unfilled position? If so, list them below:

Professional Paraprofessional

2. Provide the following information for the government-funded teachers:

Name	Bilingual		Bicultural		Position Number
	Yes	No	Yes	No	
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____
_____	___	___	___	___	_____

3. Provide the following information for government-funded aides:

Name	Bilingual		Bicultural	
	Yes	No	Yes	No
_____	—	—	—	—
_____	—	—	—	—
_____	—	—	—	—
_____	—	—	—	—
_____	—	—	—	—

4. Are the aides servicing the teachers and students in the bilingual program?

5. Do you have a state-funded community representative for the bilingual program? If so, give his (her) name.

6. List the names of the board-funded teachers in the bilingual program as part of the school's maintenance of effort.

7. [illegible]t percentage of instructional materials, non-textual materials, and [illegible]ipment have been ordered? Received?

8. Are the items mentioned in #8 properly labeled with either of the following stamps:

ACQUIRED THROUGH
STATE BIL. PROG.
BOARD OF EDUCATION
CITY OF CHICAGO

ACQUIRED THROUGH
TITLE VII BIL
BOARD OF EDUCATION
CITY OF CHICAGO

9. List purchase order numbers and dates of requisitions for materials and equipment of $100.00 or more that have not been delivered as of the audit date. (Omit requisitions that were submitted within 30 days.)

10. Is there an updated inventory of equipment?

11. List rooms that have equipment available for classroom use.

12. Briefly describe the extent of parent involvement at the bilingual center.

13. How many times has the bilingual advisory council met this year? List the dates.

14. What percentage of the members are parents of the children in the bilingual program?

15. What percentage of the members of the advisory council are bilingual/ bicultural?

16. List some of the activities in which students in the bilingual center are integrated with students in the regular program.

17. How often do personnel in the bilingual program receive inservice?

18. Who provides the inservice?

19. Describe the methods of disseminating information about the bilingual center.

20. Check schedules of teachers and paraprofessionals. Have copies of these schedules been sent to the Division of Special Language Services?

21. List those instances, if any, in which staff cannot be used in conformity with the guidelines. Explain why.

22. Complete the following enrollment/attendance form for all the teachers, government and board-funded that are in the bilingual program. Refer to the teacher's class list and daily time schedules. Indicate the number of children being served daily in each class. Note observed attendance.

Grade	Room Number	Teacher's Name	Daily Enrl.	Class Enrl.	Observed Attendance	Type of Program Half-Day	Full-Day

23. Principal's Comments:

24. Auditor's Comments:

APPENDIX #8

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS
PROGRAM AUDIT CHECKLIST

School _____ Auditor(s) _____

Date _____ _____

* *

I. Staffing

A. Does staffing at the school coincide with our staffing information? _____

B. List any discrepancies.

_____

_____

_____

C. List, by activity, any unfilled positions.

Professional			Paraprofessional	
Act. #	Position	Pos. #	Act. #	Position

D. Are teachers charged to the correct position numbers? (Verify four teaching position numbers.)

Activity	Teacher	Position #
1.		
2.		
3.		
4.		

II MATERIALS, SUPPLIES, EQUIPMENT

A. What percent of the materials, supplies or equipment have not arrived?
Materials ____% Supplies ____% Equipment ____%

B. Additional comments:

_____

C. List purchase order numbers and the date of the requisition for all educational material and equipment that has not been delivered as of the audit date.

Items	P. O. #	Date of Req.	Amount

II. MATERIALS, SUPPLIES, EQUIPMENT (con't)

D. Comments:

_____

_____

III. EQUIPMENT INVENTORY

A. Is there an updated inventory of equipment? _____
B. Spot-check at least four items:

#	Item	Serial #	Location
1.			
2.			
3.			
4.			

C. Additional comments:

_____

_____

IV TITLE II MATERIALS

A. Is there an inventory of Title II library materials available?

B. Are the Title II library materials stamped? _____

V. SUPPORTIVE SERVICES (Obtain the following information for the supportive services at the school from the principal. If the school does not have the activity, place a check in the "Does not apply" box.

A. Field Experiences: Does not apply

1. How many trips have been taken? _____
2. How many children have been served? _____
3. How many trips are scheduled? _____
4. How many children will be served? _____
5. Additional comments:

_____

B. Outdoor Education: Does not apply

1. When did/will the children go to camp? _____
2. How many children were/will be served? _____
3. Additional comments:

_____

C. School-Community Identification: Does not apply

1. Is there a list of the 35/70 Title I students being served by the program? _____
2. Are the identified students involved in a Title I reading activity? _____

V. SUPPORTIVE SERVICES (con't)

3. Briefly describe the school-community representatives' daily activity and the amount of time devoted to each activity:

Activity	% of Day

4. Additional comments:

_____

D. Health Services: Does not apply

1. When did/will the health team visit your school? _____
2. How many children were/will be served? _____
3. Additional comments:

_____

E. Mobile Instructional Laboratories: Does not apply

1. Fill in the appropriate spaces:

Type	Frequency	Day of Week
Science		
Lang. Arts		
Art		

2. Additional comments:

_____

F. Student Eligibility:

1. Were the children served by the supportive services involved in a Title I reading program? _____
2. Additional comments:

_____

B. Comments on Other Supportive Services:

_____

_____

_____

VI. COMMUNITY INVOLVEMENT

A. Is there a separate advisory council for government-funded programs? _____
B. If not, how often are government-funded programs discussed at regular council meetings? _____
C. When and how frequently does the advisory council meet? _____

VI. COMMUNITY INVOLVEMENT

D. How many members are on the council? _____
E. What percent are parents? _____
F. Additional comments:

_____

VII. INSERVICE

A. What inservice do professional and paraprofessional personnel in government-funded programs receive? (Fill in appropriate spaces.)

Type	Frequency	Conducted by
Local		
Area		
Central Office		
Other		

B. Additional comments:

_____

VIII. DISSEMINATION

How is information disseminated about the program?

		Yes	No	Number
A.	Newsletters	___	___	_____
B.	Brochures (produced by school)	___	___	_____
C.	Visits from parents/others	___	___	_____
D.	Presentations at community meetings	___	___	_____
E.	Local newspaper releases	___	___	_____
F.	Radio and TV	___	___	_____
G.	Other (specify)	___	___	_____
		___	___	_____

IX. PRINCIPAL'S COMMENTS

A. Are you satisfied with the guidelines of the program operating in your school?

_____

B. Would you like to make any specific suggestions for the modification of any of the programs?

Program	Suggested Modification

C. Additional comments:

_____

_____

APPENDIX #9

Audit - Management Information Form
Key for Recording Audit Exceptions

Each line is to be used for recording audit exceptions for a single activity. The first four items (Unit, Visit Number, Date and Auditor) need not be repeated on following lines unless there is a change (see attached example).

Specific Coding Instructions:

Unit Number - Enter school unit number

Visit - Enter number of school visit. This can be determined from the number of previous visits in the folder.

Date - Enter date of the audit (mm yy).

Auditor - If one aduitor was from field staff; place a "1" in the Auditor column.

Activity - Place the fund number (6 or 7) under the F; place the budget activity code in the next two columns.

For each of the following types of audit exceptions place a "1" in the appropriate column if the exception occurred for the specific activity listed on the same line:

Implementation

Student Selection

Staff	PR if professional
Vacancies	PAR-PR if paraprofessional

Staff	PR if professional
Use	PAR-PR if paraprofessional

Materials
- A - not ordered
- B - not received
- C - not stamped or labeled
- D - not available
- E - inappropriate
- F - no inventory

Supplies
- A - not ordered
- B - not received
- C - not stamped or labeled
- D - not available
- E - inappropriate
- F - no inventory

Equipment	A - not ordered B - not received C - not stamped or labeled D - not available E - inappropriate F - no inventory
Enrollment	
Title II Materials	A - not available B - materials not stamped
Audio Visual Inventory	A - not available B - not current C - not accurate
Community Involvement	A - no advisory council B - inadequate parent involvement C - no discussion of GFP
Inservice - none or inadequate	

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Department of Government Funded Programs

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A GUIDE TO PROGRAM AUDIT

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS
BOARD OF EDUCATION OF THE CITY OF CHICAGO

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Department of Government Funded Programs

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FOREWORD

During the past several years, federal and state governments have significantly increased their support for innovative educational programs. These new opportunities have brought with them additional responsibilities for school systems, to make certain that the funds are used effectively and properly. As a result, educators have needed to develop new techniques for assessing the effectiveness of these government-supported programs.

Monitoring of programs is one technique which can be used by school systems to assure government agencies that the programs are being properly implemented. The program audit system described in this book is one method of monitoring programs. Its use will, I am sure, lead to improved educational programs for the children we serve.

James F. Redmond

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PREFACE

This work is the outgrowth of three years' experience by the Department of Government Funded Programs in developing and refining a system for program audit. As such, it reflects the procedures and practices we have developed for use in a large urban school system.

We have not attempted to present a blueprint for creating a program audit system. Rather, each school system must develop its own, tailored to fit its particular size, organization, and needs. Instead, we have tried to share our ideas, methods, practices, and procedures--drawn from our experiences--as a guide to other school systems interested in program audit.

We hope that this book proves helpful to other educators seeking to improve their educational programs.

James G. Moffat

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1 INTRODUCTION: MONITORING EDUCATIONAL PROGRAMS

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The purpose of this handbook is both to encourage school administrators to establish a program audit system as one means of monitoring their educational programs and to provide a working guide to setting up a program audit system, based upon the experience of the Chicago public schools' Department of Government Funded Programs.

WHY MONITOR

The need for monitoring the operation of educational programs is acute. Most educators today are aware of the public's increasing concern for "educational accountability." Federal, state, and city governments and private foundations are increasing their support for special educational programs — and expect an educational, financial, and administrative accounting. Educational accountability can be achieved in part by monitoring programs continually.

Another important reason, however, for continually monitoring is that it can contribute to the improvement of programs by providing accurate, up-to-date facts about many aspects of the programs. The continual feedback of information will enable administrators to modify or change programs while they are operating. In short, continual monitoring can help solve problems when they are developing.

WHO MONITORS

Monitoring can be conducted either by school district staff or by independent monitors. The latter offer demonstrable objectivity, which lends credence to their reports. There are commercial enterprises that can provide this service, but it is costly and frequently cannot readily supply administrators with the necessary feedback. Funding agencies also have generally monitored programs to determine their adherence to regulations, but only after the programs have been in operation for some time.

In contrast, continual monitoring by school staff members offers both cost savings and early information about the program. This internal monitoring can serve to complement the independent, external monitoring of program operation, achievement, and finances that a school district is either required or desires to conduct.

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WHAT IS MONITORED

Ideally, all programs should be monitored in order to improve them so as to provide all students with the best education possible. Certainly, any programs that have been developed in measurable terms, with specific product and process objectives, are capable of being monitored.

Government-Funded Programs. At the least, nonlocally funded programs supported by federal, state, or city government agencies need to be monitored. Most agencies require some kind of program evaluation and auditing. Furthermore, continual monitoring of these programs is one of the best ways to ensure that they operate as they were intended, that the best possible results are achieved, and that exceptions to agency guidelines are corrected early. This last point is particularly important since, if not discovered until the end of the school year, such exceptions to guidelines could result in the loss of reimbursement for program expenditures.

Since this handbook is based on the experiences and practices of the Department of Government Funded Programs in conducting government-funded program audits, the discussion is limited to these types of programs. However, the procedures and practices presented could easily be adapted for auditing other types of educational programs.

Program Elements. These special, government-funded programs are developed with the support, and according to the regulations and guidelines, of federal, state, or city government agencies. In receiving funds for these programs, school districts are, in effect, entering into a contractual arrangement with the funding agency: in return for financial assistance, the school district agrees to implement an educational program approved by the funding agency, to achieve certain stated educational results.

Although different agencies have different mandated requirements – depending on the legislation under which they operate – most require similar elements in the proposed educational programs. Of these, the following are of concern in program monitoring, since they constitute the subjects of audit and evaluation:

Performance Objectives – The proposed educational results, stated in behavioral terms and subject to measurement

Procedures and Activities – How the results are to be achieved: staff duties, the number of pupils to be served, the length of time they are to be served, and the kinds of materials to be used

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Evaluation Design – The method of determining if the procedures and activities have attained the objectives

Staff Development – The means of preparing program staff to carry out the procedures and activities

Community Involvement – The continuing participation of parents and community members in the planning and operation of the program

Expenditures – The uses made of the allocated funds.

In addition, programs funded by government agencies must supplement the educational efforts of the school district. They may not replace or supplant the district's obligations to each student.

HOW TO MONITOR

There are three methods of monitoring these elements of government-funded programs: fiscal audit, product and process evaluation, and program audit. Each of these is concerned with a specific part of programs; together they provide a system of comprehensive, continual monitoring.

Fiscal audit reviews the propriety of the expenditure of funds allocated to the program. Evaluation is concerned with the program's results as compared to its projected objectives and with the effectiveness of the various procedures and activities of the program design. Both of these are well-established and school administrators are no doubt familiar with them.

Program audit, a relatively new phenomenon, is concerned with systematically comparing program operation with program design. It seeks any discrepancies between the design and the implementation of the program. It does not judge the quality of effectiveness of any aspect of the program, but looks for incipient or developing problems so that they can be solved early.

In the following sections of this book, information on how to develop a program audit system is presented: Chapter II describes the scope, purpose, and value of program audit; Chapter III indicates how and where program audit has been developed in the Chicago public schools; and Chapter IV presents a detailed method for developing a system of program audit.

2 THE NATURE OF PROGRAM AUDIT

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SCOPE

Before an internal program audit system can be developed, its scope and limits need to be understood. It is called "program" audit because it concentrates on the programmatic elements. Auditors examine the operation of the program to see that the terms of the contract are being met and maintained, and that the intentions of the legislation, the regulations and guidelines of the funding agency, and the policies and procedures of the school district are being followed.

Program auditors examine the implementation of the procedures and activities that were set forth in the program design. They seek to ascertain if teachers and other staff members have been selected, trained, and assigned to appropriate activities; if the students have been selected – according to the criteria specified in the program design – and assigned to the appropriate classes or activities; if the necessary materials, equipment, and supplies have been ordered, received, properly labeled, and put to the intended use; if the specified instructional and other activities have been, or will be, implemented on time; if the evaluation design is being implemented as scheduled; if the proposed staff development program is being conducted; if expenditures are being properly classified according to the school district's and the funding agency's accounting procedures; if the parents and community are being involved in the program on a continuing basis and as stated in the program design; and finally, if the program is supplementary to the regular school program.

Program auditors do not make value judgments. They do not audit expenditures, achievement of the stated performance objectives, nor the nature, methods, or quality of the teaching or the instructional activities. Program auditors do not recommend changes in the program. Their sole function is to identify any discrepancies between program design and program operation, and call these to the attention of the staff members responsible for operating the program.

PURPOSES

Program audit has three major purposes. The first is to help pinpoint difficulties encountered by program staff members in implementing a program design. Since government-funded programs are supplementary, they usually

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involve special activities and procedures, differing from the regular school programs to which the principal and teachers are accustomed. New programs particularly are likely to involve unfamiliar or untried procedures. Furthermore, conditions affecting the program may have changed in the time between designing and implementing it. Consequently, difficulties can occur in implementation.

Program auditors help in making the program fully operational by identifying problems and referring them to the appropriate administrator. By this means, early correction can be undertaken and the program can function more smoothly and effectively.

The second purpose of program audit is to make certain that all guidelines and regulations are met, and that all parts of the contract with the funding agency are fulfilled. Government-funded programs are subject to several kinds of regulation. Federal programs, for instance, are based upon legislative acts that place specific obligations and restrictions upon recipients of the money. Federal agencies like the Department of Health, Education, and Welfare develop regulations and guidelines for programs, based upon the legislation. State and city officials often develop interpretations of the federal regulations and guidelines. Government-funded programs are also subject to the established policies and procedures of the school district's governing body.

Principals, teachers, and paraprofessional staff may not be familiar with all the applicable requirements, regulations, guidelines, policies, procedures, and rules; consequently, violations could occur. Program audit can identify these violations, thus contributing to a more accurate interpretation of the way in which programs must be implemented to conform to the mandate of the funding agency. Program audit, then, should result in fewer violations of guidelines.

The third purpose of program audit is to provide information to program planners and administrators which they can use in designing next year's program or other similar programs. Implementation problems may be caused by deficiencies in the program design; program audit can point out these deficiencies early. Since modifications in program design for next year must be made well in advance, end-of-year data would not be available to program planners and administrators when they need it.

VALUE

The value of internal program audit is fourfold. It helps narrow the gap between intentions and results by providing early detection and correction

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of problems. It contributes to full and effective use of the allocated resources -- financial, material, and personnel. It ensures adherance to agency guidelines and other requirements, thereby avoiding a loss of reimbursement of funds as a result of violations identified by the funding agency in its own audit. Finally, it aids in the improvement of the program's design for subsequent years. The ultimate value, of course, is that program audit helps educators provide students with better educational programs.

3 PROGRAM AUDIT IN THE CHICAGO PUBLIC SCHOOLS

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The Chicago public school system was one of the first in the country to develop systematic procedures for monitoring the implementation of government-funded programs. In 1971, the Department of Government Funded Programs of the Chicago Board of Education established a Division of Program Audit, with the responsibility for auditing the programmatic elements of government-funded programs.

The establishment of this division enabled the department to determine the degree to which government-funded programs were being implemented according to guidelines and program designs, and provided administrators with accurate, current information for improving programs.

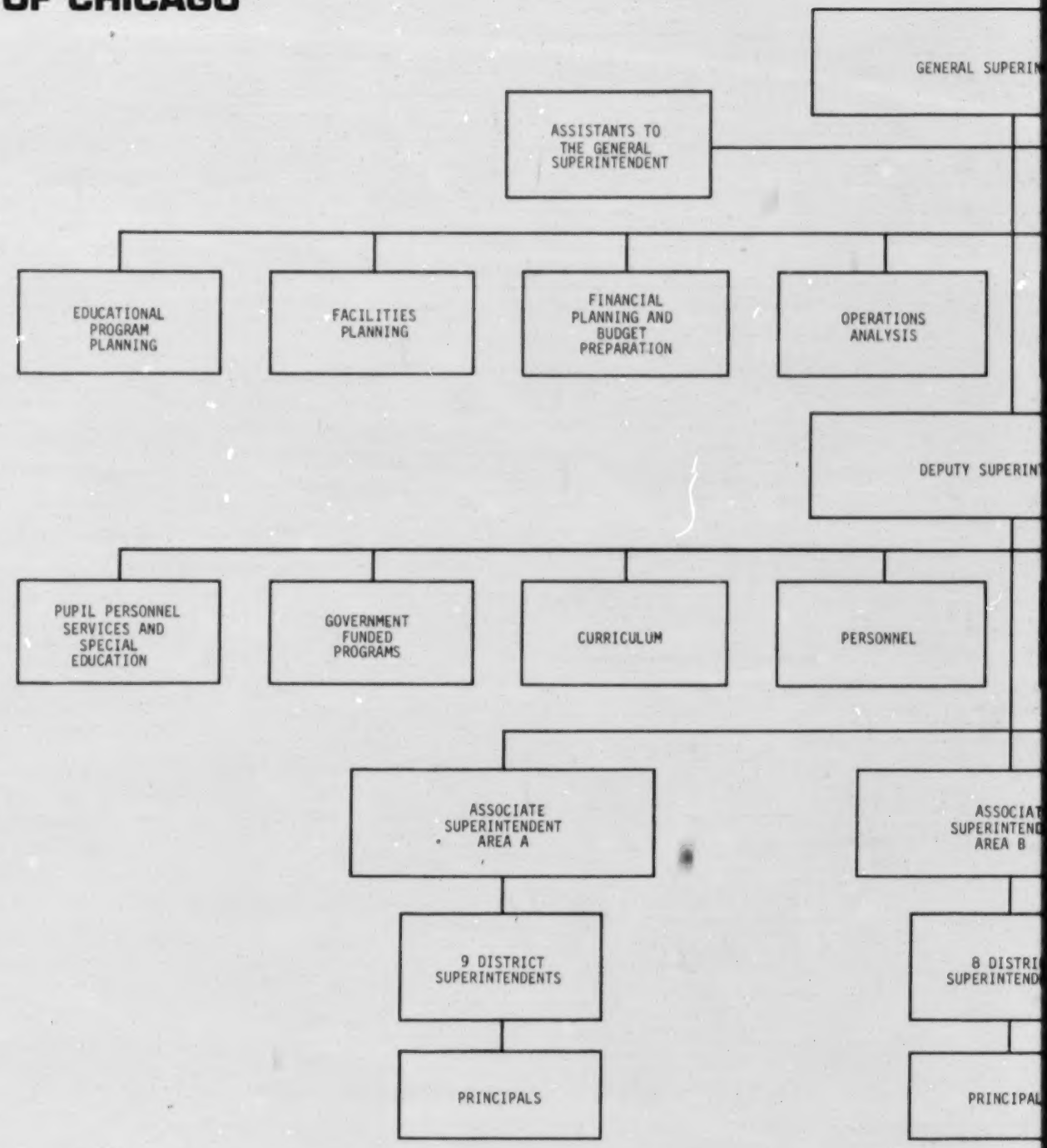
The significance of this action can be better appreciated by looking at the organization and responsibilities of the Chicago public schools, and particularly of the Department of Government Funded Programs.

CHICAGO PUBLIC SCHOOLS

The Chicago public schools consist of approximately 600 elementary, secondary, and special schools, accommodating well over a half-million students who are served by over 28,000 teachers with the assistance of nearly 17,000 other personnel. As part of the Board of Education's policy of decentralization of administrative authority and responsibilities, the city is divided into three "areas" and twenty-seven "districts." The school system is administered by the "line" officers: principals, district superintendents, area associate superintendents, the deputy superintendent, and the general superintendent. These are the people who operate the schools, each one being responsible for decisions at his administrative level. The principal is responsible for the implementation of all programs, both regular and government-funded, in his school.

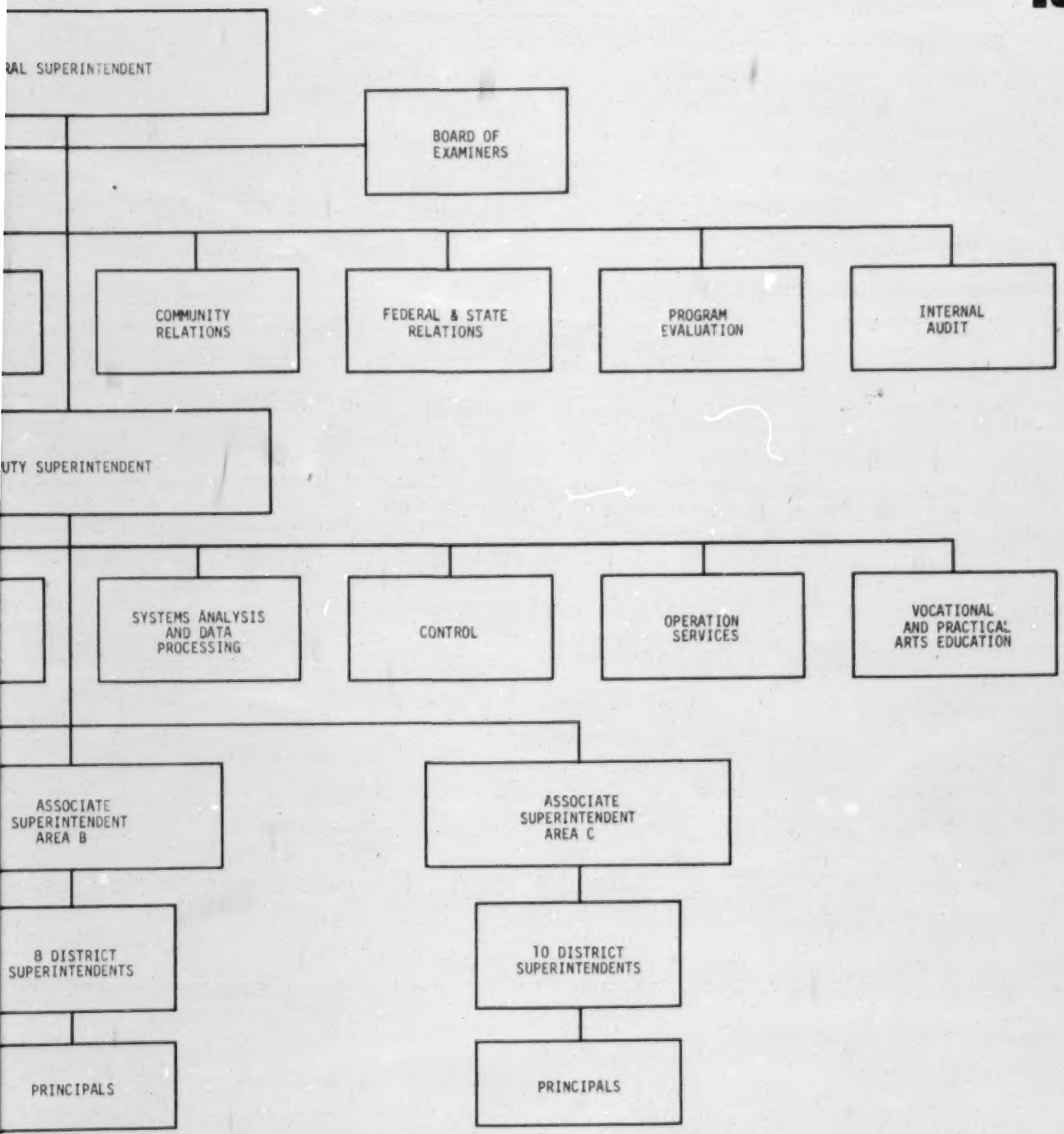
Each administrator has the services of "staff" people, who provide advice, technical and planning assistance, and other supportive aid. There are staff people at each administrative level. In the central office, the general superintendent and the deputy superintendent are assisted by sixteen staff departments. Staff personnel do not have direct administrative responsibility for educational programs; only the line administrators do.

BOARD OF EDUCATION OF THE CITY OF CHICAGO



ORGANIZATION CHART

1974



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The accompanying chart shows the administrative organization of the Chicago public schools.

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS

The great increase in federal and state financial aid to education that began in the 1960's led to the establishment by the Chicago Board of Education of the Department of Government Funded Programs. The responsibility of the department is to provide managerial, financial, and technical service to line administrators, particularly principals, in all phases of developing and operating government-funded programs. The department's specific responsibilities include the following:

Serving as the contact between all funding agencies and the Chicago public schools

Identifying sources of funding for programs developed by schools

Providing technical assistance to schools in developing programs for potential funding

Advising schools implementing government-funded programs of all requirements, regulations, and guidelines of the funding agencies

Providing financial management service to ensure that funds are appropriately and efficiently expended

Providing managerial service to ensure appropriate implementation of programs by schools

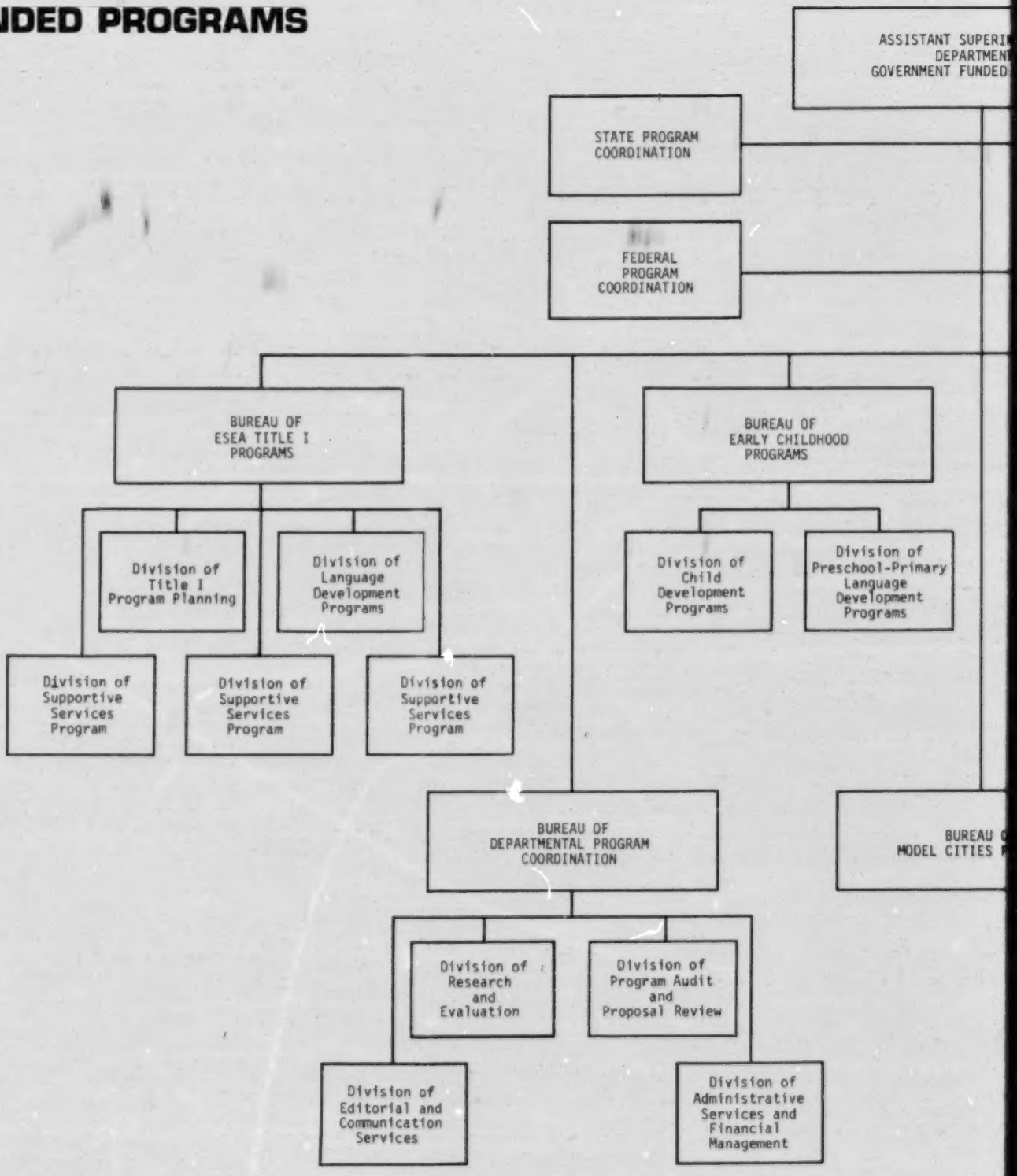
Providing assessment service to government-funded programs

Providing for the dissemination of research data and information concerning government-funded programs

Conducting continual program audit to make certain that programs are implemented according to the funding agency's guidelines and the program design.

These responsibilities are fulfilled by seven bureaus (and their divisions) of the department. Six of these are program assistance bureaus (e.g., Early Childhood Programs) that provide managerial aid to schools operating or developing particular programs. One bureau provides technical aid to all

DEPARTMENT OF GOVERNMENT FUNDED PROGRAMS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STATE PROGRAM COORDINATION
FEDERAL PROGRAM COORDINATION
BUREAU OF ESEA TITLE I PROGRAMS
BUREAU OF EARLY CHILDHOOD PROGRAMS
Division of Title I Program Planning
Division of Language Development Programs
Division of Child Development Programs
Division of Preschool-Primary Language Development Programs
Division of Supportive Services Program
Division of Supportive Services Program
Division of Supportive Services Program
BUREAU OF DEPARTMENTAL PROGRAM COORDINATION
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MODEL CITIES
Division of Research and Evaluation
Division of Program Audit and Proposal Review
Division of Editorial and Communication Services
Division of Administrative Services and Financial Management

ORGANIZATION CHART

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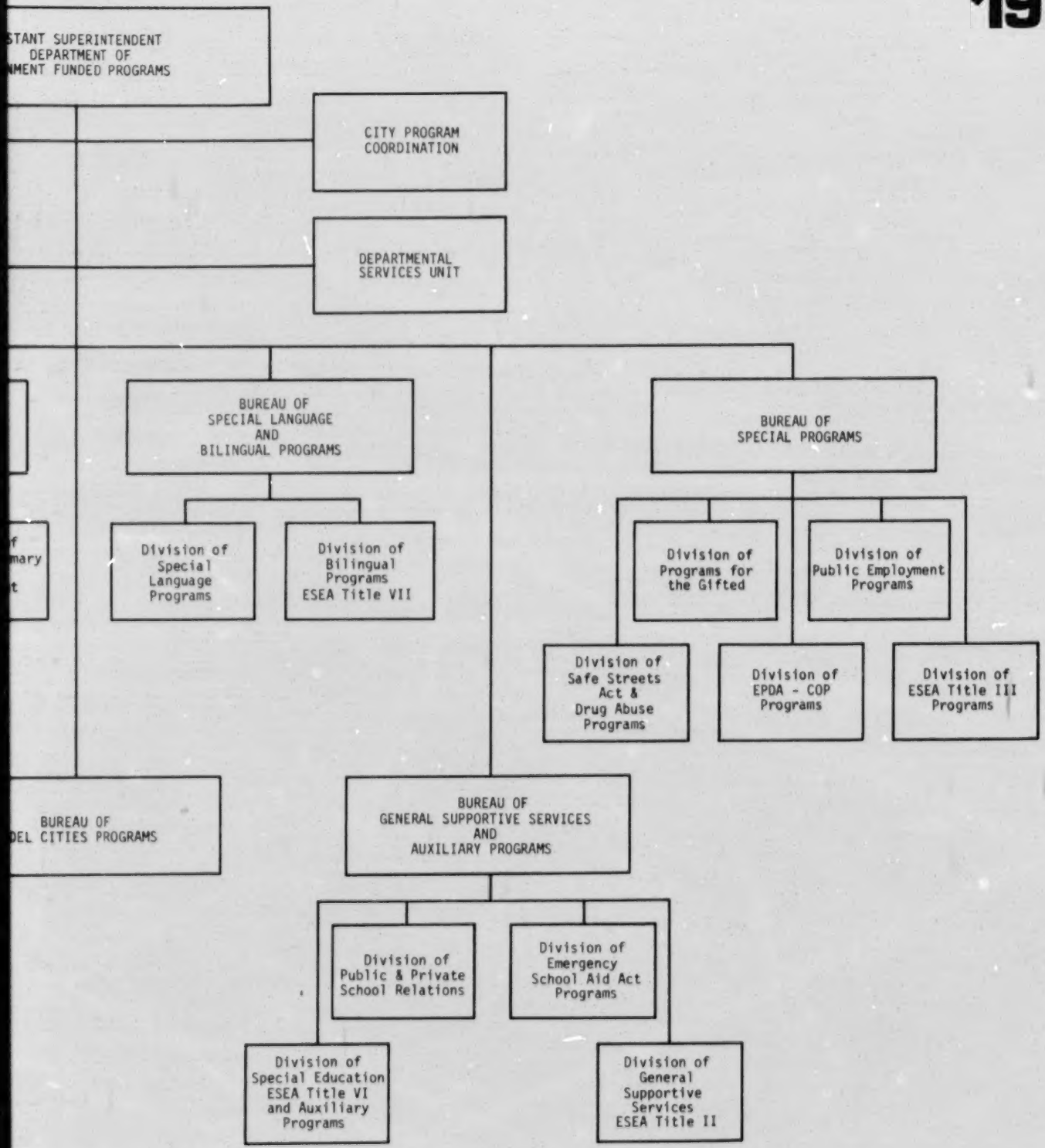

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schools requesting it. Program audit is conducted by the latter, the Bureau of Departmental Program Coordination, which also provides aid in the development, financial management, and assessment of government-funded programs.

The department does not develop or operate educational programs. The line-staff structure enables the department to avoid auditing its own activities. Consequently, it is able to conduct program audits that are internal – within the school system – and yet objective.

The accompanying chart shows the organization of the Department of Government Funded Programs.

DIVISION OF PROGRAM AUDIT

Program audit as it was described in the previous section is conducted for all government-funded programs in the Chicago public schools by the Division of Program Audit. The division's responsibilities include the following:

Developing program audit methods and procedures

Coordinating the program audits with the schools

Devising the necessary instruments (checklists, questionnaires, etc.) for auditing programs

Selecting, training, and scheduling program auditors

Supervising the actual program audits

Analyzing the program audit results, noting discrepancies or audit exceptions, and reporting these to the appropriate line administrator.

The work of the Division of Program Audit is coordinated with that of other bureaus and divisions in the department: program managers (the heads of program assistance bureaus) are regularly informed of audit results for the programs they assist; the Division of Research and Evaluation uses data collected by the program audits in assessing the degree of achievement of the programs. This interchange of information contributes to the efforts of the department to assist principals in improving their programs.

4 CONDUCTING PROGRAM AUDITS

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The process of conducting program audit involves three stages: a) planning and developing a program audit system, including devising instruments and selecting and training personnel for auditing; b) establishing procedures for auditing, including assigning auditors, preparing for the audit, and developing techniques; and c) processing audit exceptions, including identifying, reporting, correcting, and checking exceptions. Before examining these stages in detail, it will be useful to distinguish the types of program audits that can be conducted.

TYPES OF PROGRAM AUDITS

Although different school systems operating different kinds of government-funded programs will need to determine their own program audit needs, four types of audits are likely to occur frequently. The Department of Government Funded Programs has defined them as follows.

Preliminary. The first type is the preliminary audit. It is conducted during the first three weeks of school, when the programs are getting under way. Its primary objectives are to determine if the program is properly staffed, if the students have been properly selected and enrolled, if the required materials, equipment, and supplies have been received or ordered, and if instruction has begun. The preliminary audit is limited to verifying that the program has been implemented according to the program design and funding agency guidelines. It is designed to indicate to the principal and program manager any problems that are impeding complete and proper implementation. The necessary information can usually be obtained in the school office.

Comprehensive. The second type is the comprehensive program audit. It involves a reexamination of the elements audited the first time as well as personal observation of all program classes. The comprehensive audits are begun the fourth week of school. All programmatic elements are audited, by observation and by examining records, to determine if the program is fully operational and conforms to guidelines.

Auditors first check to see if any audit exceptions noted at the first visit have been corrected. They then examine student records to see if they are consistent with the criteria for selection stated in the program design. Classroom attendance books are examined to determine the number of

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students in the program. Materials, equipment, and supplies are checked to see if they are available, appropriate, and being used. Teachers' and other staff members' records and schedules are examined to determine if they are properly assigned and used. Students' schedules are studied, and classes observed, to determine if the activities stated in the program design are being conducted. Testing records are examined to see if the evaluation design is being implemented properly and on schedule.

Follow-Up. The third type of program audit is the follow-up. Begun in midyear, it is conducted selectively. Its purpose is to determine that exceptions noted in previous audits have been corrected. Usually, only those schools which had audit exceptions are visited. The auditors can note corrections, can confirm previous findings, or occassionally can detect new exceptions. All results are reported and further follow-up audits conducted as needed, until all exceptions have been corrected.

Special. These three types of audits are all that are necessary for most programs. However, a fourth type is occassionally required: the special audit. This is conducted during a given week to meet a particular need or to examine a particular element of a program or programs at all schools. Supportive activities such as health services or field trips may be examined, or the assignment of personnel may be checked. These elements would have been checked as part of the comprehensive audit; the special audit, however, is an intensive, detailed examination of an isolated element.

PLANNING THE PROGRAM AUDIT SYSTEM

Steering Committee. It is particularly helpful to have a committee comprising "staff" people, program administrators, and program teachers, from the inception of a program audit system. The steering committee's function is to provide advice on the development of procedures and materials for conducting program audits, and to aid in the refinement of the system.

School Coordination. A successful program audit system requires the support and cooperation of the principals and program staff. Consequently, early and continuous communication between the program audit administrator and the principals and other "line" officers who will be concerned with the program audits is essential. This can be accomplished in part through the steering committee, which includes some program personnel. A booklet, or better, a personal letter can be sent to each principal, explaining the purpose of program audit, what they can expect of the auditors, and the way in which audit results will be reported to them. Another technique is to conduct periodic meetings with program staff, explaining program audit,

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and soliciting their reactions and suggestions. It is important that principals and program staff understand that it is the implementation, not the quality, of the program which is being audited.

Program Information. The program audit staff needs to gather complete information on all programs: the schools that have programs, the sources of funding, the applicable regulations and guidelines of the funding agencies, and the program designs. This information can be assembled into an information bank, to which program audit staff can refer in planning the audit schedules.

Program Audit File. Drawing on the program information bank, a file can be started for each school having a program. This file would contain a list of all programs in the school and a description of each, copies of the program design, and copies of all previous audit reports. A duplicate can be provided to the auditors when they visit the school.

Program Audit Materials. A variety of information and audit instruments may be required by the auditors, depending upon the specifics of a given program and the needs of each school system. Five items are likely to be needed in most program audit systems:

General information sheet summarizing all applicable agency requirements for a program

Summary of the program design, indicating staffing, number and type of students, required materials, and description of the activities

Instructions to the auditors on procedures

Program audit checklist, covering all programmatic areas

Classroom observation form.

Samples of these materials, developed, field tested, and revised by the Division of Program Audit of the Department of Government Funded Programs, are included as an appendix. These can be adopted, adapted, or adjusted to suit the needs of a school district.

Selecting Auditors. It is usually not feasible to maintain a staff of full-time program auditors. Therefore, the most practical approach is to use professional "staff" personnel. In Chicago, all teacher certificated staff members of the Department of Government Funded Programs

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serve as program auditors for an average of one-half day a week. Professional personnel of other staff departments can also be used.

Training Auditors. If part-time program auditors are used, the program audit staff must develop and conduct a training program. In the Department of Government Funded Programs, inservice meetings for prospective auditors are held at the beginning of the year and during the year as needed. At these meetings, the aims of program audit, the information sought, and the method of reporting audit findings are discussed. Program audit materials are distributed and explained, and the program audit file reviewed and its use explained. The need for familiarity with the guidelines and the program design, and the importance of the auditor's attitude are emphasized. Auditors are reminded that theirs is a service function: to obtain information concerning the implementation of the program. It is emphasized that they are not to judge the quality of the teaching or of any other aspect of the program.

PROGRAM AUDITING PROCEDURES

Since different situations will require different procedures, it is not practical to attempt to present a universally applicable set of procedures. The following items, therefore, represent the practices of the Department of Government Funded Programs. They are included as examples and suggestions.

Assigning Auditors. For each visit to a school, two auditors are assigned, which allows them to compare their observations. Efforts are made to pair an experienced auditor with a new one, and a staff member familiar with the program and guidelines with a person from an entirely different program. Different auditors are sent to a school on subsequent visits to provide a verification of previous reports and to increase the objectivity of the audit.

Before going to the school, the auditors review the program audit file, the funding agency guidelines and regulations, previous audit reports and, most important, the program design, in order to be thoroughly familiar with all programmatic requirements.

Techniques of Auditing. Principals are not notified beforehand of the auditors' visit. Therefore, the auditors' first task is to announce their arrival to the principal, advise him of their purpose, and solicit his aid and cooperation. They are expected to conduct the audit with courtesy, tact, and speed, and to avoid as much as possible disrupting the classes or the school routine.

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The auditors may talk with the principal, the assistant principal, or the program coordinator, and with any teachers, teacher aides, other paraprofessionals, or school staff necessary. They examine or spot-check any relevant records: order forms, daily schedules, students' records, purchase orders, or other documents. Inventories of equipment and materials are examined and items sampled for proper labeling. All program classrooms are observed. All information is recorded on the appropriate forms.

Auditing Activities. The precise items to be audited depend upon the type of audit being conducted. At some point all of the following activities will be performed, using the program audit instruments:

Staffing is checked to determine whether all positions have been filled, all personnel are charged to the correct accounts, and all personnel are assigned solely to the duties prescribed in the program design.

Student records are checked to ensure that the correct number of students are enrolled in the proper activities, and that students have been selected according to the criteria in the program design.

Test records are examined to determine if the approved evaluation design is being implemented according to schedule.

Materials, equipment, and supplies are checked to see that the appropriate items have been ordered or received, and properly labeled according to the funding agency's requirements, and are being used solely in the program's activities.

Expenditure records are checked to ensure that all items are properly coded and charged to the correct account.

Preservice and inservice activity records are examined to determine if the prescribed staff development program is being implemented.

Participation of parents and community members — either informally or through community groups — is noted, to determine the extent of community involvement.

All program activities are checked to ensure that they are supplementary to the regular school program.

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AUDIT EXCEPTIONS

Upon the completion of their visit, the auditors prepare their report and submit it to the Division of Program Audit. The information is then analyzed by the division staff and all audit exceptions noted. These will be either discrepancies between the program's design and implementation, or violations of funding agency guidelines and regulations, or school district policies and procedures.

The program audit staff prepare reports on all audit exceptions for each program in a school. These reports are sent to the principal and appropriate line administrator, who are responsible for correcting the identified discrepancies and violations.

In addition, the reports are sent to the appropriate program assistance bureau heads and other staff personnel involved with the program, so that they can be aware of the problems and can help the program personnel solve them.

The final step in the program audit process is the follow-up visit of the auditors, to make certain that the exceptions have been corrected. The result of the program audit process should be a significant reduction in audit exceptions during the course of the year.

5 CONCLUSION

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In the three years the Department of Government Funded Programs has been conducting program audits, considerable progress has been made both in improving the government-funded programs in the Chicago public schools and in refining the process and techniques of program audit. During this time, program audit has come to be recognized as a valuable aid to program administrators, complementing fiscal audit and performance evaluation. Together, these methods of monitoring have provided a comprehensive, detailed analysis of how a program is progressing.

The foregoing discussion has been based upon the experience gained in auditing government-funded programs in one of the largest school systems in the nation. Inevitably, it reflects some of the problems and policies particular to this situation.

Recognizing that other school districts will have very different problems and policies, no attempt was made to present a complete, step-by-step design for creating a program audit system. Instead, the lessons of the last three years have been used as the basis for a working guide to program audit, in the belief that these considerations, suggestions, and ideas would be most useful to others.

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APPENDIX

General Information Sheet
Summary of Program Design
Instructions to Auditors
Program Audit Checklist
Classroom Observation Form

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GENERAL INFORMATION SHEET

READING: TOP PRIORITY
ESEA Title I
Fiscal 1974

Allocation and Use of Funds

No less than 70 percent of the funds allocated to a school may be expended for instructional activities listed under programs I, II, and IV.

No more than 30 percent of the funds may be expended for supportive services activities listed under Program III.

Only those pupils who are participants in an instructional activity may receive supportive services.

Expenditures for each pupil participant should be between $500 and $700.

In the event that all funds allocated to a local school are not expended, the funds will be used in the 1974 Title I summer programs.

Activity Selection

The local school selects, purchases, and implements the activities which best meet the needs of its pupils.

Title I personnel of the school are determined by the ESEA Title I activities selected. The number of teachers and teacher aides depends upon the activity selected. Example: only the selection of Activity 032—School-Community Identification provides a school-community representative.

The number identifying each activity is also the budget number of the activity. The number appears on each information sheet just before the title of the activity.

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The attached Activity Information Sheets have been prepared to assist Title I schools by providing information about each specific activity offered for local selection.

Compatibility

It is recommended that schools select reading activities having instruction materials compatible with the local school basal reading materials.

Supplementary Aid

Title I activities must supplement, not supplant, Board of Education services or instruction materials at the local school.

Pupil Selection

Categorical Aid. In no instance may all pupils at a given grade level in a school be served by Title I activities.

Criteria for pupil selection are specified in each activity's description in Reading: Top Priority, Fiscal 1974.

Eligible nonpublic school pupils participate in the activities under conditions stipulated by federal and state guidelines.

Instructional Time

Participating pupils receive daily instruction in the activity. (See specific activity narrative.)

Teachers and teacher aides devote full time to the activity to which they are assigned.

Coordinator. A school having at least five Title I teachers may use the services of a Title I teacher assigned to a small group or tutorial reading activity for one daily period to coordinate all Title I activities. (See specific activity narrative.)

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Instruction Materials, Supplies, and Equipment

Instruction materials. Only materials specific to the activity may be ordered and used.

Supplies ordered for the activity should reflect in quantity and kind the number of pupils enrolled and the instructional focus of the activity.

Equipment provided for the activity must be readily identifiable as ESEA Title I equipment, used with Title I activities, maintained under reasonable security measures, and inventoried on an up-to-date basis in each participating school.

In order to retain the equipment and furniture provided by an activity, a school must elect to continue the activity. The equipment and furniture issued to a school not continuing the activity will be transferred to a participating school.

Orders. Instructions for ordering materials, or equipment required in an activity will be sent to participating schools.

Evaluation

Evaluation is mandatory in all Title I activities. The evaluation design is included at the end of each activity narrative. Information concerning evaluation procedures will be sent to the participating schools by the Division of Research and Evaluation.

Selection Guide Changes

Requests for change of an activity once entered and approved on a planning guide will not be honored; therefore, initial selection should be carefully considered.

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SUMMARY OF PROGRAM DESIGN

ESEA TITLE I: ACTIVITY INFORMATION SHEET

Program I: Developmental and Remedial Reading

Activity 025: Individualized Instruction for Continuous Development Space and Facility Requirements

K — One classroom (if available).
P1-6 — One classroom.

Staffing

1 teacher
1 teacher aide to serve each self-contained class on an equal basis.

Pupils

This activity must serve pupils on a categorical basis. In no instance may all pupils at a given grade level be served by a Title I activity.

The 60 most educationally deprived kindergarten pupils are selected as participants according to activity criteria.

The 31 most educationally deprived P1-Pz pupils and the 34 most educationally deprived IR-grade 6 pupils are selected as participants according to activity criteria.

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Instruction Materials and Supplies

Kindergarten — Title I provides a locally selected structured program which uses a specific approach or system to develop readiness skills.

P1-6 — Title I provides supplementary instruction materials.

Supplies may be ordered only for use in this activity and must reflect in quantity and kind the number of participating pupils and the instructional focus of the activity.

Activity Description

Kindergarten (for every 60 pupils) — One Title I teacher and one teacher aide are provided. Approximately 30 pupils attend the morning session; the others attend the afternoon session. Each group of 30 is divided into two self-contained classes, one taught by the board-funded teacher, and one by the Title I teacher.

P1-Pz (for each group of 31 pupils) and IR-6 (for each group of 34 pupils) — One Title I teacher and one teacher aide are provided. Each group is divided into two self-contained classes, one taught by the board-funded teacher, and one by the Title I teacher. Teachers are responsible for instruction in all areas of the curriculum and emphasize instruction in reading.

A complete description of this activity appears in the activity narrative in Reading: Top Priority Fiscal 1974.

Cost per pupil	K — $654 P1-6 — $649	Unit cost	K — $20,940 P1-6 — $20,780

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INSTRUCTIONS TO AUDITORS

1. This folder includes:
   a. A copy of Instructions to Auditors
   b. A copy of the Audit Information Sheet
   c. Funding information
   d. A bulletin on testing with a copy of the test order form
   e. A list of activity numbers assigned to ESEA Fund 7 programs for the 1973-74 fiscal year
   f. A copy of a personnel bulletin concerning changes in position numbers.

Prior to your visit, please review the information in this folder, as well as the guidelines for the activities in the schools you will be auditing.

2. Check the master folders for the schools you will be visiting. They will contain information concerning programs and staffing. You may take the folders with you, but please return them the same day.

3. As staff personnel, it is our responsibility to establish rapport with the principals and clerks at the schools we are auditing. We are in-house personnel who have come to offer assistance. Our purpose in being at the school so early is to serve as resource personnel to help funded programs get started smoothly and with as much cooperation as possible between our department and the schools.

4. When you arrive at the school, check the staffing of both professional and paraprofessional government-funded positions. Actually look at the time sheets. Staffing at the school should coincide with the information in the master folder.

Note any discrepancies and list the position numbers for any unfilled professional positions. List all unfilled paraprofessional positions. Government-funded ESEA professional positions carry position numbers in the 33,000 through 35,000 series. Model Cities position numbers are in the 16,000 series. All other government-funded positions are in the 36,000 series.

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5. Check to see whether tests have been ordered. If the order has not already been submitted, ask the clerk to forward it immediately.

6. Check to see whether the list of pupils participating in government-funded programs has been submitted to the Division of Research and Evaluation. If not, ask that it be forwarded immediately.

7. Remind the clerk that orders for supplies and materials are due September 17. Advise her to keep a special file for government-funded orders. As materials arrive, they should be checked against the order and stamped with the proper stamp. The packing slip is to be stamped properly, signed by the principal, and returned immediately. Since most orders are submitted in June, check to see which materials have not arrived, and check to see whether invoices have been returned.

8. Find out whether the proper stamps are available in the schools.

9. Teachers in government-funded positions carry the government-funded position number. This simplifies the control of position numbers at the school. System seniority policies apply to teachers in government-funded positions as well as to those in board-funded positions. Clarify this if there is any misunderstanding. Explain that when a regular teacher is in a government-funded position but carries a board-funded number, board funds pay the higher priced teacher and government funds pay the substitute. A great deal of money will be saved by the Board of Education if proper position numbers are assigned to teachers. Instructions for changing a teacher's position number are included in the second section of this handbook.

If you have any questions, please call the Division of Program Audit, extension 4507. Also, any suggestions you may have will be most welcome.

Please return the completed Audit Information Sheet to the Division of Program Audit.

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PROGRAM AUDIT CHECKLIST

School _____ Auditors _____

Date _____ _____

****

I. STAFFING

A. Does staffing at the school coincide with our staffing information?

_____

B. List any discrepancies.

_____

_____

_____

_____

C. List, by activity, any unfilled positions.

Professional			Paraprofessional	
Act. #	Position	Pos. #	Act. #	Position

D. Are teachers charged to the correct position numbers? (Verify four teaching position numbers.)

Activity	Teacher	Position #
1.		
2.		
3.		
4.		

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II. MATERIALS, SUPPLIES, EQUIPMENT

A. What percentages of the materials, supplies, and equipment have not arrived?

Materials _____% Supplies _____% Equipment _____%

B. List purchase order numbers and the date of the requisition for all educational material and equipment that have not been delivered as of the audit date.

Items	P.O. #	Date of Req.	Amount

C. Is there an updated inventory of equipment? _____

D. Check at least four items.

#	Item	Serial #	Location
1.			
2.			
3.			
4.			

E. Comments: _____

_____

_____

_____

_____

III. TITLE II MATERIALS

A. Is there an inventory of Title II library materials available? _____

B. Are the Title II library materials stamped? _____

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IV. SUPPORTIVE SERVICES

(Obtain the following information for the supportive services at the school from the principal. If the school does not have the activity, place a check in the "Does not apply" column.)

A. Field Experiences — DNA

1. How many trips have been taken? _____ ____
2. How many children have been served? _____ ____
3. How many trips are scheduled? _____ ____
4. How many children will be served? _____ ____

B. Outdoor Education

1. When did/will the children go to camp? _____ ____
2. How many children were/will be served? _____ ____

C. School-Community Identification

1. Is there a list of the 35/70 Title I students being served by the program? _____ ____
2. Are the identified students involved in a Title I reading activity? _____ ____
3. Briefly describe the school-community representative's daily activity and the amount of time devoted to each activity:

Activity	% of Day

D. Health Services

1. When did/will the health team visit your school? _____ ____
2. How many children were/will be served? _____ ____

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E. Mobile Instructional Laboratories: DNA

1. Fill in the appropriate spaces:

Type	Frequency	Day of Week
Science		
Lang. Arts		
Art		

F. Student Eligibility:

Were the children served by the supportive services involved in a Title I reading program? _____

G. Comments on Supportive Services:

_____

_____

_____

_____

V. COMMUNITY INVOLVEMENT

A. Is there a separate advisory council for government-funded programs?

_____

B. If not, how often are government-funded programs discussed at regular council meetings? _____

C. When and how frequently does the advisory council meet? _____

D. How many members are on the council? _____

E. What percentage is parents? _____

F. Comments: _____

_____

_____

_____

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VI. STAFF DEVELOPMENT

A. What inservice training do professional and paraprofessional personnel in government-funded programs receive?

Type	Frequency	Conducted by
Local		
Area		
Central Office		
Other		

B. Comments: _____

_____

_____

VII. DISSEMINATION

How is information disseminated about the program?	Number
A. Newsletters	_____
B. Brochures produced by school	_____
C. Visits from parents or others	_____
D. Presentations at community meetings	_____
E. Local newspaper releases	_____
F. Radio and TV	_____
G. Other (specify)	_____

VIII. PRINCIPAL'S COMMENTS

A. Are you satisfied with the guidelines of the program operating in your school?

_____

_____

_____

_____

_____

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B. Would you like to make any specific suggestions for the modification of any of the programs?

Program	Suggested Modification

C. Additional comments: _____

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CLASSROOM OBSERVATION FORM

The Classroom Observation Form has been designed as a one-page verification of program conformance to the guidelines described in the proposal. This information will be—

The basis for reporting audit discrepancies to the associate superintendents

computerized to allow for immediate retrieval and use in evaluating the programs

disseminated immediately to the appropriate program administrators

the basis for follow-up audits.

The following instructions indicate how to complete the Classroom Observation Form.

Item	Instructions
Activity Number	List the program activities, repeating the activity number for each classroom, both locally and government-funded, having the activity. For locally funded classrooms, add "L" after the activity number.
Room Number	List the room number for each classroom.
Grades	List all grades taught in each classroom.

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Item	Instructions
Enrollment	Check the class enrollment book of each classroom to determine the number of students enrolled in the class. If the activity serves a large number of students in smaller groups, record the total number of students enrolled in the program in the Daily Enrollment space and the students enrolled in the period during which the audit is being made in the Class Enrollment space. If the activity serves a self-contained classroom, place a dash in the Daily Enrollment space and the class enrollment in the Class Enrollment space.
Observed Attendance	Count the number of children in the room at the time of the audit and record that number in the observed attendance column.
Pupil Selection	Check the records of two pupils in each class to determine whether they meet eligibility guidelines. Use "yes" or "no" in space. Explain discrepancies.
Staffing Vacancies	Place a check after the appropriate item if there is a vacancy of Teacher, Teacher Aide, or Other staff.
Use	Write "Yes" if the use of staff conforms to guidelines, "No" if it does not. Explain any negative entries.
Instruction Materials Available	Write "Yes" if the instruction materials for the program are available in the classroom, "No" if they are not.
Stamped	Write "Yes" if the materials are properly stamped, "No" if they are not.

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Item	Instructions
Appropriate	Write "Yes" if the available materials are those designated for the program, "No" if they are not. Explain any negative entries.
Supplies	Write "Yes" if supplies are available in the classroom, "No" if they are not.
Equipment Available	Write "Yes" if the necessary equipment is available in the classroom, "No" if it is not.
Labeled	Write "Yes" if the equipment has been properly labeled, "No" if it has not.

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CLASSROOM OBSERVATION FORM

School _____ Date _____

Audit Item		Classes Observed							
Activity Number									
Room Number									
Grades									
Enrollment	Daily								
	Class								
Pupil Selection	1								
	2								
Staffing Vacancies	Teacher								
	Teacher Aide								
	Other								
Staffing Use									
Instruction Materials	Available								
	Stamped								
	Appropriate								
Supplies	Available								
Equipment	Available								
	Labeled								

Do the activities appear to supplement rather than supplant local effort?

_____

If not, please explain. _____

_____

Do the activities appear to be operating according to guidelines? _____

_____

Explain any discrepancies. _____

_____

Additional comments. _____

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ADDENDUM TO PROGRAM AUDIT HANDBOOK

Chapter VII - "Data Collection Subcommittee" - describes a computerized data bank model which has been developed for classifying, collecting, and analyzing data gathered from visiting schools implementing government funded programs to determine the degree of compliance of the operational program with the proposal as submitted to the funding agency. The form to be used in collecting this data during field audits is shown in Appendix #8 and the key for recording is shown in Appendix #9 of the report.

All audit exceptions collected from school visitations for the school years 1971-72, 1972-73, and 1973-74 have been transcribed from manual records to tape input for processing through the Board of Education computer facility. At this time the data processing program is being debugged prior to the processing and analyzing of the data for the three school years. Although it is difficult to provide a specific date for the completion of this task because of problems relating to the debugging of the program and obtaining priority computer time, the data are available in their initial form and can be used in the interim for the assessment process.

Attached to this addendum are the following:

1. Flow chart describing the preliminary systems design used for processing audit data (Attachment #1)

2. Print-out indicating the program descriptions for each of the three years (Attachment #2)

3. Print-out listing by code the audit exceptions noted in specific school units for particular activities (Attachment #3).

Evaluative instruments have been developed to assess the effectiveness of the Guide to Program Audit. While the first instrument (Attachment #4) will measure the frequency of the guide's use and assess the effectiveness with which the guide did or did not provide solutions to an immediate problem, the second questionnaire (Attachment #5) will attempt to assess the long range impact of the guide.

The results of these two methods of evaluation will be helpful for determining whether or not the guide should be modified on an annual basis. Inasmuch as the guide has been distributed near the conclusion of the 1973-74 school year, its total impact cannot be reflected until the 1974-75 audit data are analyzed. It is anticipated that this analysis would be completed during the summer of 1975.

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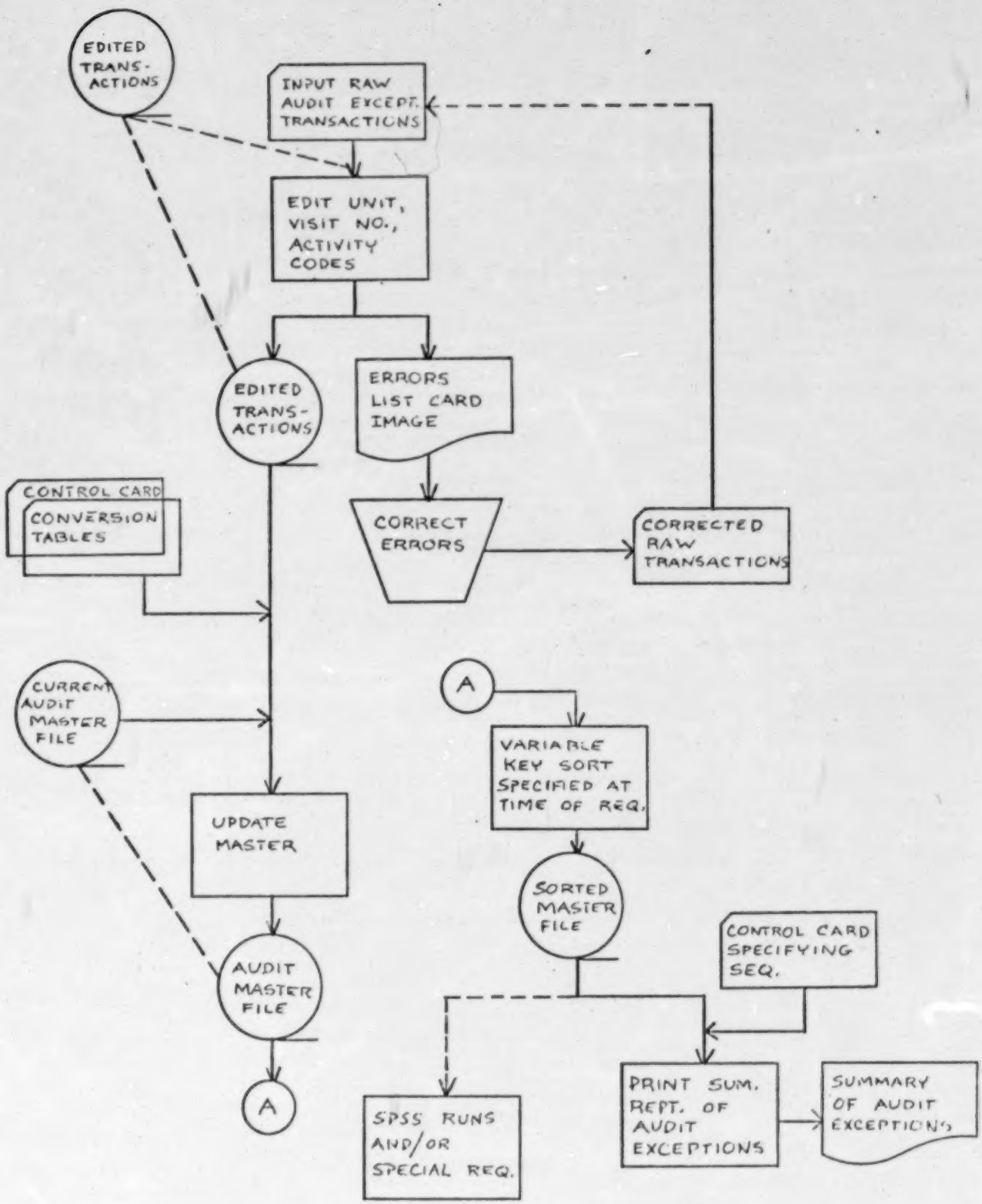
Department of Government Funded Programs
Computerized Audit System



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CARD
NUMBER   *---- CARD IMAGE ---------- CARD IM

     1              998FUND SIX, ACTIVITY NOT SPECIFIED
     2              999FUND SEVEN, ACTIVITY NOT SPECIFIED
     3    601601601001EMERGENCY EMPLOYMENT PROGRAM - SECTION 5
     4    602602   002PRACTICAL NURSE TRAINING PROGRAM
     5    603603603003NEIGHBORHOOD YOUTH CORP
     6    604604   004MANPOWER BASIC LIT. PROJECT
     7    605605605005EMERGENCY EMPLOYMENT PROGRAM - SECTION 6
     8    606606   006NDEA - TITLE III
     9    607607   007JOB CORPS
    10    608608   008MANPOWER CLERK TYPIST TRAINING PROGRAM
    11    609609   009PRE-APPRENTICE TOOL AND DIE MAKING PROGRAM
    12    610610   010MEDICAL LABORATORY ASSISTANT PROGRAM II
    13    611      011PRE-APPRENTICE METAL WORKING
    14    612      011PRE-APPRENTICE METAL WORKING
    15    613      012PACE - BASIC VOC. AND PRE-VOC. TRAIN.
    16    614      013LICENSED PRACTICAL NURSE TRAINING PROGRAM
    17    615      014MEDICAL LABORATORY ASSISTANT
    18    616      015CLERK TYPIST (P-T)
    19    617   617016BASIC ED. AND PRE-VOC. TRAIN. PROG. II
    20       618618017WIN - EEA WELFARE DIV. PROGRAM SECTION 9
    21    619      018DRUG PREVENTION AND CARR. PROGRAM
    22    620      019DRUG EC. SEMINAR FOR PRIN. OF ELEM. SCH.
    23    621      020WIN - CLERICAL SKILLS I
    24    622      021PSYCHOLINGUISTICS 2D. SERIES EVAL.
    25    624      022MANPOWER CLERICAL SKILLS
    26    625625625023AREA GIFTED SERVICE CENTERS TRAINING PROGRAM
    27       616616024EARLY ACTION OPPORTUNITY CENTERS
    28       612   011PRE-APPRENTICE METAL WORKING
    29       626   025GIFT MUSEOLOGY PROGRAM
    30    628628628026GIFTED REIMBURSEMENT PROGRAM
    31       629   031CHILD DEVEL. - H.S. MED/DEN
    32    630630630028FOLLOW THROUGH - CENTRAL OFFICE
    33    631631631028FOLLOW THROUGH
    34    632632632028FOLLOW THROUGH
    35    633633633028FOLLOW THROUGH
    36    634634634028FOLLOW THROUGH
    37    635635635028FOLLOW THROUGH
    38    636636   028FOLLOW THROUGH - OGDEN
    39    637637637028FOLLOW THROUGH - PRICE
    40    638638638030PRE-KINDERGARTEN - CHILD DEVELOPMENT
    41    639      031CHILD DEVEL. - H.S. MED/DEN
    42    640640640032ADMINISTRATION (MODEL CITIES)
    43    641      033NEW CAREERS (CO-PLUS)
    44    642642642034INSTRUCTIONAL (TEAM CO-PLUS) OAKENWALD NC.
    45    643      035COMMUNITY SCHOOLS (CO-PLUS)
    46       644   036CENTERS FOR ACCELERATING LEARNING
    47       645   037MODEL CITIES - CO-PLUS HEALTH SERVICES
    48    646646   038NUTRITIONAL AND HEALTH SERVICES (CO-PLUS)
    49    647647647039PRE-SCHOOL (CO-PLUS)
    50    648      040IN-SERVICE PROJECT (CO-PLUS)
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CARD
NUMBER    *---- CARD IMAGE ---------------------------------------- CARD

  51    649649   041IN-SERVICE TRAINING PROGRAM
  52       639639031CHILD DEVEL. - H.S. MED/DEN
  53          621043INC. EL. AND SEC. AUT. ACT.
  54    651651651044TESL AT SENN
  55    652652652045READING CENTER AT HESS UGC
  56    653653   046FREE BREAKFAST PROGRAM
  57    654      047LANGUAGE ARTS - BETHUNE, MANLEY UGC
  58       655655048LANGUAGE ARTS - BETHUNE
  59       656656049INSTRUCTIONAL TEAM - OVERTON
  60    657657   050PERFORMANCE CONTRACT - READING PROJECT
  61    658      051SUMMER CC-PLUS PROGRAM
  62       659   051SUMMER CC-PLUS PROGRAM
  63       660660052INSTRUCTIONAL TEAM - HERZL
  64       661661053CLASSROOM AIDES - JOHNSON
  65       662662054INSTRUCTIONAL TEAM - TESLA
  66       663663055INSTRUCTIONAL TEAM - WOODSON SO.
  67       664664056INSTRUCTIONAL TEAM - STOCKTON
  68    665      057EPDA PART B-2
  69    666666666058PRINCIPALSHIP INTERNSHIP
  70    667667667059RIGHT TO READ
  71    668668   060PRE-APPRENTICE TOOL AND DIE MAKING
  72    669669   061VA HOSP. - WESTSIDE - MED. LAB. ASSIST.
  73    670      062PERSONNEL SERVING AND STAFF PROGRAM
  74          671063JUAN MCKEL CAMPOS DISS. PROJECT
  75    673      064EPDA - AREA B
  76          674065ALL CITY THEATRICAL TROUPE
  77          675066CHICAGO COMMISSION TRUST AWARD PROGRAM AUDIT
  78       654654067LANGUAGE ARTS - MANLEY UGC
  79       658   068HOME-VISITING READING TEAM
  80          670069COMPUTER BASED GUIDANCE PROGRAM
  81    677      070MORE EFFECTIVE SCHOOL PERSONNEL UTILIZATION
  82       682   071PUBLIC EDUCATION/ BRANCH FACILITIES
  83       683683072SUMMER SWIMMING POOL, DEPARTMENT OF LABOR
  84       684   073SUMMER SWIMMING POOL, MODEL CITIES
  85    685      074BETTER BOYS FOUND. - SEARS AND FARRAGUT CUTPOST
  86    686686686075DIST. 19 - BILINGUAL TEACHER CORP
  87    687      076FAMILY LIFE EDUCATION
  88    688      077BELL ELEM. PILOT PROJECT FOR HAND. CHILD.
  89    689689689078CAREER OPPORTUNITY PROGRAM
  90    690690690079CUSABLE EXEMP. PROGRAM
  91    691      080DEM. IN DEAF EDUCATION
  92    692      081SPECIAL EDUCATION PLANNING - GRANT
  93    693693693082COOP. VOCATIONAL PROG. FOR PHYS. HAND.
  94    694694694083EXP. SCH. WORK EXP. AND CAREER EXP. PROG.
  95    696696   084SAFE STREETS ACT
  96    697697697085STATE BILINGUAL
  97    698      074BETTER BOYS FOUND. - SEARS AND FARRAGUT CUTPOSTS
  98       685   074BETTER BOYS FOUND. - SEARS AND FARRAGUT CUTPOSTS
  99       692   029SPECIAL ED. SERVICES CONT. PROJ. (SER. FOR DEAF)
 100          688083EX. SCH. WRK. EXP. AND CAR. EXP. PROG. - STURGIS EVGC
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CARD
NUMBER    *---- CARD IMAGE ---------------------------------------- C
      101         698027SOUTHWEST ED. LAB. GRANT PROG.
      102    701      042ADMINISTRATION TITLE III
      103    702702702086LT. INN. MED. FOR PUP. WITH COMM. DIS.
      104    703703703087AMER. CULT. AND ED. SKILLS AND URB. IND. VIL. CENT.
      105    704704   088AREA A INSERVICE ED. AND MEN. HEALTH PRC.
      106    705705705089COMMUNITY BILINGUAL CENTERS
      107    706706706090EAST WOODLAWN ACADEMY
      108       707707091OPERATION IMPACT
      109    708708708092PRE-ALGEBRA DEVELOPMENT CENTERS
      110    709      093RES. PRO. FOR EMOTION. DISTURBED CHIL.
      111    710710710094AREA P.S. PREP CENTERS
      112    711      095EXPER. SCHOOLS PLAN. GRANT
      113    712712712096DESIGNING SIM. MOD. FOR ED. EXTENSION
      114       713713097A MULTI-GRADE HELPING RELATIONSHIP
      115    714714714098COMPUTER-ASSISTED INSTRUCTION
      116    715715715099SPECIAL PRC. IN READING AND LAN.
      117    716716716100BASIC OCCUP. AND SKILL TRAIN. CENTER
      118    718718719102FIELD EXPERIENCES
      119    719719719103PROGRAMMED READING INSTRUCTION
      120    720720720104SKILLS TO HELP ACC. READ. PROGRESS
      121    721721721105SPECIAL PROG. TO UPGRADE READ.
      122    722722722106READING SYSTEMS FOR PRI. LEVELS
      123    723723723107HORIZONS AHEAD
      124    724724   108URBAN AND RURAL SCHOOLS IICD
      125    725725725C8IND. INST. IN COAT
      126       726726109HOMEBASE
      127       704704110CLOSING THE INTER. ACHIEVEMENT GAP
      128       711711111ED. THERAPY THROUGH PERFORM. INST.
      129    726      184U & R SCHOOLS - CRRI
      130    727727727113OUTDOOR EDUCATION AND CAMPING
      131    728      114SOCIAL ADJUSTMENT CENTER
      132    729      028FOLLOW-THROUGH
      133    730730730115BILINGUAL CENTERS TITLE VII
      134    731      028FOLLOW-THROUGH
      135    732732732116SCHOOL COMM. IDENTIFICATION
      136    733      028FOLLOW-THROUGH
      137    734      028FOLLOW-THROUGH
      138    735735   165U & R SCHOOLS-SPECIAL PROG. IN READ. AND LAN.
      139    736      028FOLLOW-THROUGH
      140    737      028FOLLOW-THROUGH
      141    738      028FOLLOW-THROUGH
      142    739      186U & R SCHOOLS - SKILLS TO HELP ACC. READ. PROG.
      143    740740   187U & R SCHOOLS - SPECIAL PROG. TO UPGRADE READ.
      144    741      188U & R SCHOOLS - READING SYSTEMS FOR PRI. SCHOOLS
      145    742742   189U & R SCHOOLS - OUTDOOR ED. AND CAMP.
      146    743743   190U & R SCHOOLS - FIELD EXPERIENCES
      147       744   117EARLY LEARN. CENT. - EXT. DAY KINDER.
      148    745745745118CHILD-PARENT CENTER
      149    746746746119FAMILY LIVING CENTER
      150       747747120DEVELOP. APPROACH TO READ.
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CARD
NUMBER   *---- CARD IMAGE ---------- CARD
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  151    748748748121HEALTH SERVICES
  152       749749122PHONETIC APP. TO REMED. READ.
  153       750750123PARALLELISTIC READING PROG.
  154       751751124IMP. READ. ACH. THROUGH TEACH. TYPEWRITING
  155       752752125LEARN. SYS. FOR TOT. IND. OF MATH/READ
  156    753753753126MOB. INST. LABORATORIES
  157       754754127THE LEARNING GAME
  158       755755128IND. MATH INST.
  159    756756756129TESL ON WHEELS
  160    757757   131CLUSTER CLOSED-CIRCUIT TELEVISION
  161       758758131GUIDANCE FOR TITLE I ELEM. SCH. PLP.
  162       759759132MICROTEACH. APP. TO TEACHER ED.
  163       760760133STAFF DEVEL. FOR TITLE I TEACHERS
  164    761761   134TITLE I LEAD TEACHERS
  165       762762135RESEARCH AND EVALUATION
  166       763763136PUBLIC INFORMATION CENTER
  167    764764764137ADMINSITRATION - TITLE I
  168    765765765138INSTRUCTIONAL TEAM SCHOOLS
  169    766      139INST. LANGUAGE DEVEL.
  170       767   191U & R - PHONETIC APP. TO READ
  171       768   128U & R - STAFF DEVEL. FOR TITLE I TEACHERS
  172       769   128U & R - STAFF DEVEL. FOR TITLE I TEACHERS
  173    77077077014 ANGEL GUARDIAN ORPHANAGE
  174    771      141LYDIA CHILDRENS' HOME
  175    772772772142ST. JOSEPH CARANCOLIT
  176    773773773143HOUSE OF THE GOOD SHEPHERD
  177    774774774144CHICAGO PARENTAL-BOYS
  178    775775775145CHICAGO PARENTAL-GIRLS
  179       728728114FAMILY GUIDANCE CENTERS
  180       737737028FOLLOW-THROUGH
  181    776776776147MARY BARTELME HOME
  182    777777777148MISSION OF OUR LADY OF MERCY
  183    778      149LAWRENCE HALL/RANDALL HOUSE
  184    779779779150PUBLIC CHILDREN HOME
  185       781781151CHAPIN HALL
  186    782782782152ST. MARY OF PROVIDENCE
  187       783   192U & R - MICROTEACH. APP. TO TEACHER ED.
  188       784784153SW REGIONAL LABORATORY KINDER. PROG.
  189    785785785154TEST AND LIBRARY BOOKS
  190    786786786155INSTRUCTIONAL AND A-V MATERIALS
  191    787787787156ADMINISTRATIVE - TITLE II
  192    788788788157A-V COOPERATIVE GRANT
  193    789789789158SUMMER READING PROGRAM
  194       790   159DIAGNOSIS AND CONSULT. FOR DEAF & BLIND
  195    792      128FOLLOW-THROUGH
  196       793793160PAR. AND INF. ED. FOR VISION & HEAR. HANDI.
  197       794794161MCLAREN, JACKSON, KOSCIUSKO, SEWARD BILINGUAL CENTER
  198    795795795162CHICAGO DEAF AND BLIND PROJECT
  199    796      163DIAG. & CLIN. SER. FOR ELEM. AND H.S. DEAF
  200       797   164SPECIAL ED. SERVICES CONTINUOUS PROJECT
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CARD
NUMBER    *---- CARD IMAGE ----------------------------------------- CA
  201     798       165DEVEL. INDICATORS FOR THE ASSESMENT OF LEARNING (DIALE
  202        739    193U & R - SCHOOL COMM. IDENTIFICATION
  203        741    194U & R - INSTRUCTIONAL TEAM SCHOOLS
  204        766    195U & R - DEVELOP. APP. TO READ.
  205     78 780780149LAWRENCE HALL/RANDALL HALL
  206     791791791146CORRECTIVE AND REMED. READ. INST.
  207        796796163SUPPLEMENT. ED. SERVICE. FOR HANDI.
  208     717717717161LANGUAGE IN TRANSITION
  209           724166HOME VISITING INST. TEAM PROGR.
  210           726167CENTER FOR ACC. LEARNING
  211           729168DEVELOP. OF TEACH. STRATEGIES THROUGH VIDEOTAPE
  212           731169DIAG.-PRESCRIP. APP. TO MEETING PUP. NEEDS
  213           733170TEACH. READ. THROUGH DRAMA
  214           734171DIAG.-PRESCRIP. APP. TO REMED. READ.
  215           736172HIGH MOTIVATION READING PROGRAM
  216           738173HIGH MOTIVATION READING PROGRAM
  217           740174U & R SCHOOLS - RESOURCE TEACHERS
  218           742196U & R SCHOOLS - GUID. FOR TITLE I ELEM. PUP.
  219           741197U & R SCHOOLS - DEV. TEACH. STRATEGIES USE VIDEOTAPE
  220           743198U & R SCHOOLS - COMPUTER ASSIST. INST.
  221           757175ORIENTATION AND LANG. DEVEL. CENTERS
  222           766176INDIRECT COST ALLOCATION
  223           767177MINI-GRANT WRITING OWN MY COMM. READER
  224           768178MINI-GRANT FRIEND OF THE RETARDED READER
  225           769179MINI-GRANT HOLDEN MOTOR COORDINATION LAB.
  226           778180EARLY CHILDHOOD EDUCATION
  227           792181HIGH INTENSITY READING CENTER
  228           798182TUTORIAL DROPOUT PREVENTION ETHNICITY PROGRAM
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CARD NUMBER	*---- CARD IMAGE ----
1	2840 10711 700 1 1 1 1
2	185 10472 605
3	268 10971 725 1
4	268 20971 725 1 1 1 1
5	268 31171 725 1
6	268 31171 723 11
7	268 40372 725 1
8	285 10971 745 11 1
9	085 21171 745 11 1
10	085 30372 745 1 1 1
11	616 10372 613 1
12	409 10172 6011
13	410 10172 601 1
14	410 20472 601
15	289 11171 697
16	289 20172 601
17	761 11171 697
18	761 21271 686
19	761 30172 601
20	112 10172 601
21	699 10971 745 1 1
22	699 20372 745 1
23	180 10172 7011
24	101 10172 6011
25	277 104721
26	263 10971 700
27	263 21271 791 1
28	263 30272 638 1 1 1 1
29	263 40272 791 1
30	274 31071 757 1 1
31	274 10971 700
32	274 20971 700 1 1 1 1
33	214 10172 6011 1
34	205 10172 601
35	210 10971 791 1
36	210 20971 725 1
37	210 31071 725 1
38	210 41171 700 11 1
39	210 42171 761 1
40	210 50372 741
41	207 10971 717 1
42	207 21271 717
43	006 0172 601
44	004 10172 6011
45	004 20472 6011
46	760 10971 716 1
47	760 20272 716 1
48	555 10971 638 1 1
49	154121071 703 1
50	154131171 7031 11 1

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CARD NUMBER	*---- CARD IMAGE ----
51	154141171 7031 11 1
52	154150272 703 1 1 1
53	154160272 703 11 1 1
54	154170372 7031 11
55	154180472 700 11 1 1 1
56	154180472 700 11 1 1 1
57	555[illegible]31171 638 1
58	122[illegible]10472 605
59	204[illegible]70372 638
60	204[illegible]80372 717
61	204011071 638 1
62	204[illegible]60172 717 1
63	204[illegible]41271 717 11
64	204[illegible]51271 717 1 1
65	204[illegible]21071 717 1 1
66	204[illegible]31071 717
67	271[illegible]10971 700
68	271[illegible]20971 700 1 1 1
69	271[illegible]31171 700 1 1
70	271[illegible]31171 715 1
71	149[illegible]11071 710
72	149[illegible]20172 6011
73	149[illegible]30372 710 1
74	203[illegible]11171 697 1
75	201[illegible]10971 638 1
76	201[illegible]20300 638 1 1
77	253[illegible]10971 717 11 1
78	253[illegible]21271 689 1
79	253[illegible]31271 717 1
80	253[illegible]40172 717 1
81	253[illegible]50172 689 1
82	251[illegible]11171 697 1
83	251[illegible]20172 697 1
84	246[illegible]10971 725 11 1
85	246[illegible]10971 715 1
86	246[illegible]10971 791 1
87	246[illegible]10971 700 1
88	246[illegible]21071 700 1 1
89	246[illegible]31171 638
90	246[illegible]31171 725 1
91	246[illegible]31171 700 1 1
92	240[illegible]10971 700 11 1
93	240[illegible]21071 638 1 1
94	240[illegible]31071 731 1
95	247[illegible]41071 700 1 1 1 1
96	240[illegible]51171 638
97	240[illegible]61171 700 1 1
98	240[illegible]70271 725
99	240[illegible]80271 731 1 1
100	240[illegible]90271 638

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| CARD NUMBER | *----- CARD IMAGE ---------- | | |

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CARD NUMBER	CARD IMAGE
151	284)10971 791 1
152	2846 0971 761 1
153	284 10971 719 11
154	284 10971 70C 1
155	284 21071 721 1 1 1
156	284 31171 721 1 11 1
157	284 31171 761 1 1 1
158	284 31171 7911 1 1 11 1
159	284211 71 791 1 1 1 1 1
160	284221171 791 1 11 11
161	274 41271 653 1
162	274 41271 70C
163	274 41271 689 1
164	274 41271 725
165	274 50372 725 1
166	274 50372 791 1
167	274 50372 689
168	274 50372 653 1
169	274 50372 70C
170	125 10172 601 1
171	258 10172 601 1

Attachment #4

266
Mail Run
#65

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Mr. James G. Moffat
Assistant Superintendent
Government Funded Programs
Board of Education, City of Chicago
228 North LaSalle Street, Room 1130
Chicago, Illinois 60601

Each time you use Guide to Program Audit, please complete this card and mail to address on reverse side.

Did you find the answer to your question or concern in this handbook? ____Yes ____No

If yes, please write your question in the space provided.

_____

_____

_____

_____

_____

_____

If you found the answer in the handbook, please note the page number.
Page No. _____

If no, what should be included in this handbook to make it more useful.

_____

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_____

_____Please check if additional cards are needed.

Mailing address:

A GUIDE TO PROGRAM AUDIT
Evaluation Questionnaire

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Six months ago you were sent a copy of A Guide to Program Audit, a publication prepared by the Department of Government Funded Programs. Now that you have probably had the opportunity to become familiar with the guide on program audit procedures, we would appreciate your comments regarding its usefulness and content and any suggestions that you feel would improve the manual.

Place a check in the appropriate space for each item.

	BECAUSE OF THE GUIDE							
	I am able to approach this task more effectively.				I can see immediate practical application.			
	Yes	About Same	No	Does not Apply	Yes	About Same	No	Does not Apply
1. Determining the role of the auditor during a school visit.	___	___	___	___	___	___	___	___
2. Determining if a program is being conducted according to guidelines as planned	___	___	___	___	___	___	___	___
3. Determining the function of a program audit.	___	___	___	___	___	___	___	___

4. Has the guide changed your conception of program audit? ____Yes ____No

5. How often have you the guide in the past six months? _____

6. How would you rate the quality of this guide? ____Superior ____Good ____Fair

7. Which section has been most useful to you? Section #____ Why?

_____

8. Which section has been least useful to you? Section #____ Why?

_____

Additional comments or suggestions:

_____

_____

_____